

# IMPORTANT NOTICE

National Securities Clearing Corporation



**A#:** 6554 \*REVISED\*  
**P&S#:** 6124  
**DATE:** December 28, 2007  
**TO:** ALL PARTICIPANTS  
**ATTENTION:** MANAGER, PURCHASES AND SALES DEPARTMENT  
CASHIER, FUND/SERV PARTICIPANTS, ACATS PARTICIPANTS  
MUNICIPAL BOND COMPARISON PARTICIPANTS  
**FROM:** Linda Shackleton  
Account Administration  
**SUBJECT:** CHANGES IN THE LIST OF PARTICIPANTS

*Correction to Important Notice A#6550 (P&S#6120) dated December 21, 2007 (for OTC Executed-By List) the correct executing symbol for BCG Securities is BCGS.*

- The following firm will retire from all services as detailed below:

**Last Trade Date, December 31, 2007:**

SEI Investment Distribution Co./CRA Funds No. 5820

- The following firm will begin participation in the Mutual Fund Profile Phase I & II service, as detailed below:

**First Trade Date, January 02, 2008:**

PFPC Distributors, Inc./BHR Institutional Funds No. 6549

- The following firms will change their name only as detailed below:

**Effective First Trade Date January 02, 2008:**

From: MF Global Securities Inc. No. 0650

To: MF Global Inc. No. 0650

From: MG Global Securities Inc./Fixed Income No. 0120

To: MF Global Inc./Fixed Income No. 0120

- The following firm will begin participation in the Insurance Processing Service, as detailed below:

**First Trade Date, December 26, 2007:**

FFP Securities, Inc. No. 5912

- The following firm will begin participation in the Networking service, as detailed below:

**First Trade Date, January 02, 2008:**

Capital Guardian Trust Company No. 4873

Networking Code: U4

Contact: LaTrina Mikulasch

Phone: (310) 996-6171

- An additional number has been assigned to Quasar Distributors LLC (#5869) for the purpose of utilizing the Fund/SERV, Networking, Commission Settlement, and ACATS Fund/SERV services, as detailed below:

**First Trade Date, December 28, 2007:**

Quasar Distributors LLC/Fund Quest No. 5614

Networking Code: VV

Contact: Casandra Sauer

Phone: (414) 347-5766

- An additional number has been assigned to Quasar Distributors LLC (#5869) for the purpose of utilizing the Fund/SERV, Networking, Commission Settlement, and ACATS Fund/SERV services, as detailed below:

**First Trade Date, December 31, 2007:**

Quasar Distributors LLC/Dorfman Funds No. 4857

Networking Code: RE

Contact: Casandra Sauer

Phone: (414) 347-5766

- An additional number has been assigned to Quasar Distributors LLC (#5869) for the purpose of utilizing the Fund/SERV, Networking, and ACATS Fund/SERV services, as detailed below:

**First Trade Date, January 02, 2008:**

Quasar Distributors LLC/Smead Value Fund No. 6686

Networking Code: RS

Contact: Casandra Sauer

Phone: (414) 347-5766

- An additional number has been assigned to Quasar Distributors LLC (#5869) for the purpose of utilizing the Fund/SERV, Networking, Commission Settlement, and ACATS Fund/SERV services, as detailed below:

**First Trade Date, January 02, 2008:**

Quasar Distributors LLC/Ascentia Alternative Strategies Fund No. 5946  
 Networking Code: U3  
 Contact: Casandra Sauer  
 Phone: (414) 347-5766

Quasar Distributors, LLC/Academy Fund Trust No. 5612  
 Networking Code: VK  
 Contact: Casandra Sauer  
 Phone: (414) 347-5766

- An additional number has been assigned to PFPC Distributors, Inc. (#6658) for the purpose of utilizing the Fund/SERV, Networking, and Mutual Fund Services Profile I &II services, as detailed below:

**First Trade Date, December 31, 2007:**

PFPC Distributors, Inc./Abundance Technologies Inc. Family of No. 5947  
 Funds of the RBB Fund  
 Networking Code: RR  
 Contact: Jayda Burke  
 Phone: (508) 871-3717

- An additional number has been assigned to Foreside Distribution Services, LP (#4967) for the purpose of utilizing the Fund/SERV, Networking, Commission Settlement, ACATS Fund/SERV, and Mutual Fund Profile Phase I services, as detailed below:

**First Trade Date, January 02, 2008:**

Foreside Distribution Services LP/Lou Holland Growth Fund No. 5620  
 Networking Code: V1  
 Contact: Casandra Sauer  
 Phone: (414) 347-5766

Foreside Distribution Services LP/RMR Fund Series Trust No. 5621  
 Networking Code: WA  
 Contact: Jeff Miller  
 Phone: (720) 917-0561

- An additional number has been assigned to PFPC Distributors Inc. (#6658) for the purpose of utilizing the Fund/SERV, Networking, Commission Settlement, and Mutual Fund Profile Phase I & II services, as detailed below:

**First Trade Date, January 02, 2008:**

PFPC Distributors Inc./High Mark Funds No. 5820  
 Networking Code: SF  
 Contact: David Madden  
 Phone: (617) 483-2612

- An additional number has been assigned to Unified Financial Services Inc (#4965) for the purpose of utilizing the Fund/SERV, Networking, and Commission Settlement services, as detailed below:

**First Trade Date, January 02, 2008:**

Unified Financial Services Inc/Dreman Fund No. 5418  
 Networking Code: TY  
 Contact: Craig Glenn  
 Phone: (317) 917-7000 ext 7343

\*

- As a result of a merger of A.G. Edwards and Sons into Wachovia Securities, LLC, with Wachovia Securities, LLC being the surviving company, the following name change will occur:

**Effective, First Trade Date, January 02, 2008:**

From: A.G. Edwards and Sons No. 0201  
 To: Wachovia Securities, LLC No. 0201  
 OTC Alpha Identifier AGED  
 Networking Code: AG  
 NYSE Listed Alpha Identifier: E

***Wachovia Securities, LLC will assume all open contracts of A.G. Edwards and Sons, which are to be cleared or settled through or by National Securities Clearing Corporation.***

Note: Please direct all inquiries regarding the above to:

Wachovia Securities LLC  
 Contact Name: Ron Kessler  
 Phone: (314) 955-3592

\*

- Kindly update the NSCC Directory dated October 11, 2007 (for OTC Executed-By-List and Municipal Bond Comparison System) as detailed below:

	<u>Clearing Broker</u>		<u>Executing Broker</u>	
	<u>Identifiers</u>		<u>Identifiers</u>	
	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<b><u>Add First Trade Date, January 02, 2008:</u></b>				
Gunn Allen Financial, Inc.	QRCC	0158	GNLR	
Infinity Financial Services	MSRO	0727	NFTY	

- Kindly update the NSCC Directory dated October 11, 2007 (for OTC Executed-By List) as detailed below:

	<u>Clearing Broker</u>		<u>Executing Broker</u>	
	<u>Identifiers</u>		<u>Identifiers</u>	
	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<b><u>Delete Last Trade Date, December 24, 2007:</u></b>				
Cuttone & Co., Inc.	SBSH	0418	CUTC	
<b><u>Delete Last Trade Date, December 31, 2007:</u></b>				
B-Trade Services LLC	BTRD	0133	BTRD	0133
B-Trade Services LLC	BTRD	0133	BTRA	
<b><u>Add First Trade Date, December 27, 2007:</u></b>				
Rosenblatt Securities Inc.	SILK	0501	RBLT	
<b><u>Add First Trade Date, December 31, 2007:</u></b>				
National Banc Financial Inc.	FMAF	5008	NBKT	
Wedbush Morgan Securities, Inc.	WEDB	0103	WEDK	
Merrill Lynch, Pierce, Fenner & Smith Incorporated	PRST	0551	MLPX	

If you have any questions regarding this notice, please contact Kevin Edwards at (212) 855-1545.