

# IMPORTANT NOTICE

National Securities Clearing Corporation



**A#:** 6567  
**P&S#:** 6137  
**DATE:** February 1, 2008  
**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

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

**Last Trade Date, January 30, 2008:**

B-Trade Services LLC No. 0133

**Last Trade Date, January 31, 2008:**

Quasar Distributors, LLC/High Pointe Funds No. 5434

**Last Trade Date, January 29, 2008:**

American Skandia Life Assurance Corp./FAS No. 4585

- The following firm will no longer participate in the Trade Comparison, Trade Recording and RECAPS services, as detailed below:

**Last Trade Date, January 31, 2008:**

Golden Capital Securities LTD./CDS No. 5081

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

**First Trade Date, February 01, 2008:**

H&R Block Financial Advisors, Inc. No. 0756

- The following firm will begin participation in the Commission Settlement service, as detailed below:  
**First Trade Date, January 31, 2008:**  
 PFPC Distributors, Inc./Fundvantage Trust No. 5611
- The following firm will begin participation in the Insurance Processing Services and Commission Settlement service, as detailed below:  
**First Trade Date, February 01, 2008:**  
 Brookstone Securities, Inc. No. 0495
- The following firm will begin participation in the Insurance Processing Service, as detailed below:  
**First Trade Date, February 04, 2008:**  
 The United States Life Insurance Company in the City of New York No. 4531
- The following Data Services Only member will begin participation in the Insurance Processing service as detailed below:  
**First Trade Date, February 04, 2008:**  
 AmTrust Investment Services, Inc. No. 7148
- An additional number has been assigned to Foreside Distribution Services, L.P. (#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, February 01, 2008:**  
 Foreside Distribution Services, LP/Horizon Global Advisors Umbrella Fund LLC No. 5633  
 Networking Code: XM  
 Contact: Sami Ben Mrad  
 Phone: (011) 353-1-603-6273
- 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, February 01, 2008:**  
 Quasar Distributors, LLC/Primary Trend Fund No. 5858  
 Networking Code: W9  
 Contact: Casandra Sauer  
 Phone: (414) 347-5766

- 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>Delete Last Trade Date, January 28, 2008:</u></b>				
Fox Financial Management Corporation	SALI	0750	FOXY	
LMT Capital Markets LLC	SALI	0750	LMTC	
Vantage Securities, Inc.	SALI	0750	MATR	
Times Securities, Inc.	SALI	0750	TMES	
Wellstone Securities LLC	SALI	0750	WSSL	
Zeus Securities, Inc.	SALI	0750	ZEUS	

**Delete Last Trade Date, February 01, 2008:**

Montgomery & Co., LLC	MLCO	0161	MNTY	
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**Add First Trade Date, February 04, 2008:**

Wilmington Capital Securities, LLC	QRCC	0158	TSGI	
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**Clearing Broker Change, Effective First Trade Date, February 11, 2008:**

From: Haywood Securities (USA) Inc.		0235	HAYV	
To: Haywood Securities (USA) Inc.	SWST	0279	HAYV	

- 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, January 28, 2008:</u></b>				
ASG Securities, Inc.	SALI	0750	ANPC	
D.C Capital, Inc.	SALI	0750	CAPT	
Centreinvest, Inc.	SALI	0750	CTRE	
Everrgreen Associates	SALI	0750	EVGN	
Frederick & Company, Inc.	SALI	0750	FRDK	

<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>

**Delete Last Trade Date, January 28, 2008:**

Salomon Grey Financial Corporation	SALI	0750	GREY
JP Matrix Partners, LLC	SALI	0750	MPCO
United Equity Securities, LLC	SALI	0750	PFML
Tara Securities Inc.	SALI	0750	TRSI
Ventana Trading Corp.	SALI	0750	VENT

**Delete Last Trade Date, February 01, 2008:**

Saratoga Capital Markets	JEFF	0019	SART
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**Add First Trade Date, February 04, 2008:**

FTC Capital Markets, Inc.	PCAP	0608	FTCG
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**Clearing Broker and Name Change, Effective First Trade Date, February 01, 2008:**

From: Legacy Trading Company	SALI	0750	LGTD
To: Legacy Trading Co., LLC	NACI	0297	LGTD

**Clearing Broker Change, Effective First Trade Date, February 04, 2008:**

From: Macquarie Securities (USA) Inc.	PERS	0443	MSUS
To: Macquarie Capital USA Inc.	PERS	0443	MSUS

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<u>Clearing Broker</u>		<u>Executing Broker</u>	
<u>Identifiers</u>		<u>Identifiers</u>	

**Add First Trade Date, February 01, 2008:**

Legacy Trading Co., LLC	NACI	0297	LGTD
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If you have any questions regarding this notice, please contact Kevin Edwards at (212) 855-1545 or Bill Marcellus at (813) 470-1224.