

# IMPORTANT NOTICE

National Securities Clearing Corporation



**A#:** 6579  
**P&S#:** 6149  
**DATE:** February 29, 2008  
**TO:** All Participants  
**ATTENTION:** Manager, Purchaser 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

- RBC Capital Markets Corporation will merge with and into RBC Dain Rauscher Inc., with RBC Dain Rauscher Inc., as the successor to the merger. Immediately following the merger, RBC Dain Rauscher Inc. will change its name to RBC Capital Markets Corporation. As a result, the following changes are expected:

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

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

RBC Capital Markets Corporation

No. 0569

*RBC Capital Markets Corporation (#0235) will assume all open contracts for RBC Capital Markets Corporation (#0569), which is to be cleared or settled through or by National Securities Clearing Corporation.*

The following firm will change its name as follows:

**Effective First Trade Date, March 3, 2008:**

From: RBC Dain Rauscher Inc.

No. 0235

To: RBC Capital Markets Corporation

No. 0235

The following account of RBC Capital Markets Corporation (#0569) will become an additional account of RBC Capital Markets Corporation (#0235):

**Effective First Trade Date, March 3, 2008:**

RBC Capital Markets Corporation/Retail

No. 0071

*RBC Capital Markets Corporation (#0235) will assume all open contracts for account #0071, which is to be cleared or settled through or by National Securities Clearing Corporation.*

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

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

Gateway Trust (The) No. 5891

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

**First Trade Date, February 26, 2008:**

The Pangburn Company No. 7145

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

**First Trade Date, February 28, 2008:**

M Fund, Inc. No. 5425

- An additional number has been assigned to Lazard Freres & Co. L.L.C. (#4850) for the purpose of utilizing the Fund/SERV, Networking, Commission Settlement, Mutual Fund Profile I & II, and ACATS Fund/SERV services, as detailed below:

**First Trade Date, February 29, 2008:**

Lazard Freres & Co., LLC/ Lazard Global Active Funds (Offshore) No. 5417

Networking Code: XD

Contact: Joe Brady

Phone: (212) 632-1494

- An additional number has been assigned to SunTrust Bank/Dealer (#2482) for the purpose of utilizing the Fund/SERV and ACATS Fund/SERV services, as detailed below:

**First Trade Date, February 29, 2008:**

SunTrust Bank/Wealth & Investment Management No. 2971

- An additional number has been assigned to Aquarius Fund Distributors, LLC (#4915) for the purpose of utilizing the Fund/SERV, Networking, Commission Settlement, and ACATS Fund/SERV services, as detailed below:

**First Trade Date, March 3, 2008:**

Aquarius Fund Distributors LLC/Anchor Multi Strategy Growth Fund No. 6696

Networking Code: YN

Contact: Brian Nielsen

Phone: (402) 493-1731 x2

- An additional number has been assigned to Baron Capital Inc (#4862) for the purpose of utilizing the Fund/SERV and Networking services, as detailed below:

**First Trade Date, March 3, 2008:**

Baron Capital Inc./Baron Managed Funds No. 5536  
 Networking Code: XE  
 Contact: Matt Kelly  
 Phone: (212) 493-1731 x2

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

**First Trade Date, March 3, 2008:**

Synergy Investment Group, LLC No. 7224  
 Networking Code: P4  
 Contact: Timothy Bain  
 Phone: (704) 295-6699

- Please update the NSCC Directory dated January 4, 2008 (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>

**Delete Last Trade Date, February 25, 2008:**

S.G. Martin Securities, LLC FSWC 0309 SGMS

**Delete Last Trade Date, February 27, 2008:**

Valubond Securities, Inc FCCP 0141 VABD

**Delete Last Trade Date, February 29, 2008:**

Brownco, LLC ETRS 0385 BRON  
 E\*Trade Clearing, LLC ETRS 0385 ETRS 0385  
 RBC Capital Markets Corporation RBCD 0569 RBCX  
 RBC Capital Markets Corporation RBCD 0569 RBCD 0569

**Add First Trade Date, February 26, 2008:**

A&F Financial Securities, Inc. LGNT 0052 FRIS

**Add First Trade Date, February 28, 2008:**

Knight Bondpoint, Inc. FCCP 0141 VABD

**Add First Trade Date, February 29, 2008:**

Freedom Investors Corp. SWST 0279 FRIC

	<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, March 3, 2008:</u></b>				
E*Trade Clearing, LLC	ETCL	0385	ETCL	0385
E*Trade Clearing, LLC	ETCL	0385	ETRS	
RBC Capital Markets Corporation	-	0235	RBCD	
RBC Capital Markets Corporation	-	0235	RBCX	

- Please update the NSCC Directory dated January 4, 2008 (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, February 25, 2008:</u></b>				
Merrill Lynch, Pierce, Fenner & Smith Incorporated	MLCO	0161	MLBA	
Merrill Lynch, Pierce, Fenner & Smith Incorporated	MLCO	0161	MLBX	
Lime Brokerage LLC	MLCO	0161	LMDA	
Lime Brokerage LLC	MLCO	0161	LMDX	
Heartland Investments Associates	NFSC	0226	HIAI	
<b><u>Delete Last Trade Date, February 28, 2008:</u></b>				
Cantella & Co., Inc.	JEFF	0019	CTLA	
<b><u>Delete Last Trade Date, February 29, 2008:</u></b>				
RBC Capital Markets Corporation	RBCD	0569	RBCM	
RBC Dominion Securities Corporation	RBCD	0569	RYDS	
E*Trade Capital Markets LLC	ETRS	0385	ETNY	
E*Trade Securities, LLC	ETRS	0385	TIED	
<b><u>Add First Trade Date, February 27, 2008:</u></b>				
Lombardi & Co., Inc.	JEFF	0019	LOCO	
<b><u>Add First Trade Date, February 29, 2008:</u></b>				
G&L Partners, Inc.	JEFF	0019	GNLP	
<b><u>Add First Trade Date, March 3, 2008:</u></b>				
Veritas Securities Corp.	SILK	0501	VRTS	
RBC Capital Markets Corporation	-	0235	RBCM	
RBC Dominion Securities Corporation	-	0235	RYDS	
E*Trade Capital Markets LLC	ETCL	0385	ETNY	
E*Trade Securities, LLC	ETCL	0385	TIED	
Cantella & Co., Inc.	BSSC	0352	CTLA	

