

# IMPORTANT NOTICE

National Securities Clearing Corporation



**A#:** 6610  
**P&S#:** 6180  
**DATE:** May 9, 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

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

**Last Trade Date, May 8, 2008:**

Nationwide Life Insurance Company of America No. 4576  
Nationwide Life And Annuity Company Of America No. 4577

**Last Trade Date, May 9, 2008:**

Prime Dealer Services Corp No. 0058

- The following firm will no longer participate in the ACATS service, as detailed below:

**Last Trade Date, May 27, 2008:**

Bank of America, N.A./US Trust No. 0931

- The following firm will begin participation in the Commission Settlement and Mutual Fund Profile Phase I services, as detailed below:

**First Trade Date, May 6, 2008:**

ALPS Distributors Inc./ALPS Variable Insurance Trust No. 5635

- The following firms will begin participation in the Commission Settlement service, as detailed below:

**First Trade Date, May 6, 2008:**

ALPS Distributors Inc./Financial Investors Variable Insurance Trust	No. 6609
ALPS Distributors Inc./Red Rock LPE Funds	No. 5904
Forside Distribution Services, LP/RMR Fund Series Trust	No. 5621

- The following firm will begin participation in the ACATS Fund/SERV service, as detailed below:

**First Trade Date, May 15, 2008:**

Caldwell Trust Company	No. 2687
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- The following firm will begin participation in the Mutual Fund Profile Phase I service, as detailed below:

**First Trade Date, June 2, 2008:**

Hand Benefits & Trust Company	No. 4866
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- Please update the NSCC Directory dated April 4, 2008 (for OTC Executed-By List and for 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>

**Clearing Broker Change**

**Effective First Trade Date, May 14, 2008**

From: Hennion & Walsh, Inc.	QRCC	0158	NHWI
To: Hennion & Walsh, Inc.	FCCP	0141	NHWI

**Clearing Broker Change,**

**Effective First Trade Date, May 21, 2008**

From: Newbridge Securities Corporation	NFSC	0226	BRGE
To: Newbridge Securities Corporation	LGNT	0052	BRGE

**Delete Last Trade Date, May 2, 2008**

Leonard Financial Corporation	BSSC	0352	LEOC
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**Add First Trade Date, May 6, 2008**

Fintech Securities	MSRO	0727	FINX
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**Add First Trade Date, May 8, 2008**

White Pacific Securities, Inc.	QRCC	0158	WPSI
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**Add First Trade Date, May 12, 2008**

Marco Polo Securities Inc.	PERS	0443	DVNE
Momentum Trading Partners, LLC	LYON	0651	MPLM

- Please update the NSCC Directory dated April 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>Revision to Notice Dated May 2, 2008:</u></b>				
<b><u>**Add First Trade Date, April 29, 2008**</u></b>				
Richfield Orion International, Inc.	SWST	0279	ROII	
<b><u>Clearing Broker Change</u></b>				
<b><u>Effective First Trade Date, May 8, 2008</u></b>				
From: H.C. Wainwright & Co., Inc.	LGNT	0052	WAIN	
To: H.C. Wainwright & Co., Inc.	QRCC	0158	WAIN	
<b><u>Delete Last Trade Date, May 6, 2008</u></b>				
Westminster Securities Corporation	PERS	0443	WSWW	
<b><u>Delete Last Trade Date, May 8, 2008</u></b>				
E*Trade Securities, LLC	ETCL	0385	TIED	
<b><u>Delete Last Trade Date, May 9, 2008</u></b>				
Fimat USA LLC	SGAS	0286	FIMA	
<b><u>Add First Trade Date, May 5, 2008</u></b>				
Jesup & Lamont Securities Corp	PFSI	0234	JSLI	
<b><u>Add First Trade Date, May 7, 2008</u></b>				
Genesis Securities, LLC	GNDT	0118	GNSC	
<b><u>Add First Trade Date, May 12, 2008</u></b>				
Infinium Securities Inc.	PRST	0551	INFU	
National Bank of Canada Financial Inc.	FMAF	5008	NBDT	
Zecco Trading, Inc.	PFSI	0234	ZECO	

- Please update the NSCC Directory dated April 4, 2008 (for 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, May 6, 2008</u></b>				
Eckhart & Co., Inc.	NFSC	0226	ECKH	
<b><u>Delete Last Trade Date, May 9, 2008</u></b>				
Hibernia Investments, L.L.C.	PERS	0443	HISI	
<b><u>Add First Trade Date, May 7, 2008</u></b>				
Gatten Sadowski Inc.	-	0235	GSAD	

If you have any questions regarding this notice, please contact Bill Marcellus at (813) 470-1224, Melanie Maingot at (813) 470-1225, or e-mail [NSCCAA@DTCC.com](mailto:NSCCAA@DTCC.com)