

# IMPORTANT NOTICE

National Securities Clearing Corporation



**A#:** 6111  
**P&S#:** 5681  
**DATE:** September 16, 2005  
**TO:** ALL PARTICIPANTS  
**ATTENTION:** MANAGER, PURCHASES AND SALES DEPARTMENT  
CASHIER, FUND/SERV PARTICIPANTS, ACATS PARTICIPANTS  
MUNICIPAL BOND COMPARISON PARTICIPANTS  
**FROM:** Pablo Cubi  
Membership Administration  
**SUBJECT:** CHANGES IN THE LIST OF PARTICIPANTS

- The following member of The Canadian Depository for Securities Ltd. will begin participation in the OTC Comparison service, as detailed below:

**First Trade Date, September 19, 2005:**

Northern Securities Inc./CDS No. 5080  
OTC Alpha Identifier: NTHN

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

**First Trade Date, September 14, 2005:**

From: Terra Securities Corp No. 0471  
To: Genworth Financial Securities Corporation No. 0471

**First Trade Date, September 19, 2005:**

From: First Associates Investments, Inc./CDS No. 5010  
To: Blackmont Capital Inc./CDS No. 5010

From: First Associates Investments, Inc./CDS No. 5025  
To: Blackmont Capital Inc./CDS No. 5025

- The following firms will no longer participate in the Trade Comparison and Trade Recording service as detailed below:

**Last Trade Date, September 15, 2005:**

Rock Island Equity Market Services, Inc. No. 3720  
Rock Island Equity Market Services, Inc./ Index No. 3502  
Rock Island Equity Market Services, Inc./ RIITSG No. 3503  
Rock Island Equity Market Services, Inc./ VRITSG No. 3504  
Rock Island Equity Market Services, Inc./ RHLD No. 3511  
Rock Island Equity Market Services, Inc./ RHLDSG No. 3512

|  |          |
|--|----------|
| Rock Island Equity Market Services, Inc./ VHLDSG | No. 3513 |
| Rock Island Equity Market Services, Inc./ RSPF   | No. 3653 |
| Rock Island Equity Market Services, Inc./ RSPBSG | No. 3654 |
| Rock Island Equity Market Services, Inc./ VSPB   | No. 3655 |
| Rock Island Equity Market Services, Inc./ TECH   | No. 3730 |
| Rock Island Equity Market Services, Inc./ JROCSG | No. 3732 |

**Last Trade Date, September 16, 2005:**

|                         |          |
|-------------------------|----------|
| National Clearing Corp. | No. 8273 |
|-------------------------|----------|

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

**Last Trade Date, September 15, 2005:**

|  |          |
|--|----------|
| PFPC Distributors Inc./Old Dominion Investment Trust | No. 4934 |
|--|----------|

**Last Trade Date, September 30, 2005:**

|                   |          |
|-------------------|----------|
| ADHIA Funds, Inc. | No. 5875 |
|-------------------|----------|

- Kindly update the NSCC Directory dated July 1, 2005 (for OTC Executed-By-List and Municipal Bond Comparison System) as detailed below:

|  | <u>Clearing Broker Identifiers</u> |                | <u>Executing Broker Identifiers</u> |                |
|--|------------------------------------|----------------|-------------------------------------|----------------|
|  | <u>Alpha</u>                       | <u>Numeric</u> | <u>Alpha</u>                        | <u>Numeric</u> |
| <b><u>Add First Trade Date, September 15, 2005</u></b>                                     |                                    |                |                                     |                |
| Feldman, Ingardona & Co.   | NFSC                               | 0226           | FMAC                                |                |
| <b><u>Add First Trade Date, September 21, 2005:</u></b>                                    |                                    |                |                                     |                |
| Soloway & Co.  | NFSC                               | 0226           | SLWY                                |                |
| U.S. Financial Investments, Inc.   | NFSC                               | 0226           | USFI                                |                |
| <b><u>Executing Broker Name Change, Effective First Trade Date September 14, 2005:</u></b> |                                    |                |                                     |                |
| From: Dresdner Latin America Financial Advisors LLC  | BSSC                               | 0352           | VESI                                |                |
| To: EFG Capital International, LLC   | BSSC                               | 0352           | VESI                                |                |
| <b><u>Clearing Broker Change, Effective First Trade Date September 21, 2005:</u></b>       |                                    |                |                                     |                |
| From: BGB Securities, Inc.   | BHCS                               | 0632           | BGCM                                |                |
| To: BGB Securities, Inc.   | NFSC                               | 0226           | BGCM                                |                |
| From: The Delaware Bay Company, Inc.   | BHCS                               | 0632           | DBAY                                |                |
| To: The Delaware Bay Company, Inc.   | NFSC                               | 0226           | DBAY                                |                |
| From: Electronic Global Securities, Inc.   | BHCS                               | 0632           | EGSB                                |                |
| To: Electronic Global Securities, Inc.   | NFSC                               | 0226           | EGSB                                |                |
| From: Securities & Investment Planning Co.   | BHCS                               | 0632           | SPCC                                |                |
| To: Securities & Investment Planning Co.   | NFSC                               | 0226           | SPCC                                |                |
| From: Franklin Ross, Inc.  | CCLS                               | 0265           | ROSS                                |                |
| To: Franklin Ross, Inc.  | PFSI                               | 0234           | ROSS                                |                |

|  | <u>Clearing Broker Identifiers</u> |                | <u>Executing Broker Identifiers</u> |                |
|--|------------------------------------|----------------|-------------------------------------|----------------|
|  | <u>Alpha</u>                       | <u>Numeric</u> | <u>Alpha</u>                        | <u>Numeric</u> |
| From: Global Crown Capital, LLC        | CCLS                               | 0265           | TMAI                                |                |
| To: Global Crown Capital, LLC          | PFSI                               | 0234           | TMAI                                |                |
| From: Globalvest Group, Inc.           | CCLS                               | 0265           | GLBT                                |                |
| To: Globalvest Group, Inc.             | PFSI                               | 0234           | GLBT                                |                |
| From: Scottsdale Capital Advisors Corp | CCLS                               | 0265           | SCAI                                |                |
| To: Scottsdale Capital Advisors Corp   | PFSI                               | 0234           | SCAI                                |                |

- Kindly update the NSCC Directory dated July 1, 2005 (for OTC Executed-By List) as detailed below:

|  | <u>Clearing Broker Identifiers</u> |                | <u>Executing Broker Identifiers</u> |                |
|--|------------------------------------|----------------|-------------------------------------|----------------|
|  | <u>Alpha</u>                       | <u>Numeric</u> | <u>Alpha</u>                        | <u>Numeric</u> |
| <b><u>Delete Last Trade Date, September 16, 2005:</u></b>                            |                                    |                |                                     |                |
| A.B. Watley Direct, Inc  | SALI                               | 0750           | ABWD                                |                |
| Index Securities, LLC  | WEDB                               | 0103           | INDX                                |                |
| Wedbush Morgan Securities, Inc.  | WEDB                               | 0103           | WEDZ                                |                |
| <b><u>Delete Last Trade Date, September 20, 2005:</u></b>                            |                                    |                |                                     |                |
| Family Investors Co.   | BHCS                               | 0632           | FAMV                                |                |
| Gerbro Securities, Inc.  | BHCS                               | 0632           | GERO                                |                |
| Grodsky Associates, Inc.   | BHCS                               | 0632           | GROD                                |                |
| IIG Horizons Securities, LLC   | BHCS                               | 0632           | IIGH                                |                |
| JetTrade, Inc.   | BHCS                               | 0632           | JETT                                |                |
| Kevin Hart Kornfield & Co., Inc.   | BHCS                               | 0632           | KHKC                                |                |
| USGM Securities, Inc.  | BHCS                               | 0632           | USGM                                |                |
| Windsor Sheffield & Company, Inc.  | BHCS                               | 0632           | WISC                                |                |
| <b><u>Add First Trade Date, September 13, 2005:</u></b>                              |                                    |                |                                     |                |
| Falcon Research, Inc.  | PFSI                               | 0234           | PIDG                                |                |
| <b><u>Clearing Broker Change, Effective First Trade Date September 21, 2005:</u></b> |                                    |                |                                     |                |
| From: S.B.S. Financial Group, Inc.   | BHCS                               | 0632           | WIPE                                |                |
| To: S.B.S. Financial Group, Inc.   | NFSC                               | 0226           | WIPE                                |                |
| From: AOS, Inc.  | BHCS                               | 0632           | AOSC                                |                |
| To: AOS, Inc.  | TNTO                               | 0364           | AOSC                                |                |
| From: Genesis Securities, LLC  | CCLS                               | 0265           | GNDS                                |                |
| To: Genesis Securities, LLC  | PFSI                               | 0234           | GNDS                                |                |

|                                      | <u>Clearing Broker Identifiers</u>   |                | <u>Executing Broker Identifiers</u> |                |
|--------------------------------------|--|----------------|-------------------------------------|----------------|
|                                      | <u>Alpha</u>   | <u>Numeric</u> | <u>Alpha</u>                        | <u>Numeric</u> |
|                                      | <b><u>Clearing Broker Change, Effective First Trade Date September 21, 2005:</u></b> |                |                                     |                |
| From: Midas Securities, LLC          | CCLS   | 0265           | MDAS                                |                |
| To: Midas Securities, LLC            | PFSI   | 0234           | MDAS                                |                |
| From: Phoenix Securities, Inc.       | CCLS   | 0265           | PHNX                                |                |
| To: Phoenix Securities, Inc.         | PFSI   | 0234           | PHNX                                |                |
| From: San Francisco Securities, Inc. | CCLS   | 0265           | SFSE                                |                |
| To: San Francisco Securities, Inc.   | PFSI   | 0234           | SFSE                                |                |
| From: Stock USA Investments          | CCLS   | 0265           | SPTD                                |                |
| To: Stock USA Investments            | PFSI   | 0234           | SPTD                                |                |

**Clearing Broker Change, Effective First Trade Date September 26, 2005:**

|                             |      |      |      |
|-----------------------------|------|------|------|
| From: Aton Securities, Inc. | PERS | 0443 | ATON |
| To: Aton Securities, Inc.   | MLCO | 0161 | ATON |

- Kindly update the NSCC Directory dated July 1, 2005 (for Municipal Bond Comparison List) as detailed below:

|                                   | <u>Clearing Broker Identifiers</u>                      |                | <u>Executing Broker Identifiers</u> |                |
|-----------------------------------|---|----------------|-------------------------------------|----------------|
|                                   | <u>Alpha</u>  | <u>Numeric</u> | <u>Alpha</u>                        | <u>Numeric</u> |
|                                   | <b><u>Add First Trade Date, September 21, 2005:</u></b> |                |                                     |                |
| First Brokerage America, L.L.C.   | NFSC  | 0226           | FBAL                                |                |
| FBR Investment Services Inc.      | NFSC  | 0226           | FBRB                                |                |
| J.M Lummis Securities, Inc.       | NFSC  | 0226           | JMLS                                |                |
| KJM Securities, Inc.              | NFSC  | 0226           | KJMS                                |                |
| Lesko Securities Inc              | NFSC  | 0226           | LSKO                                |                |
| Peyton, Chandler & Sullivan, Inc. | NFSC  | 0226           | PCSX                                |                |
| Navaid Financial Services, Inc.   | NFSC  | 0226           | PHRS                                |                |
| Morgan Peabody, Inc.              | NFSC  | 0226           | RHCI                                |                |
| Webster Investment Services, Inc. | NFSC  | 0226           | WEBS                                |                |
| S.B.S. Financial Group, Inc.      | NFSC  | 0226           | WIPE                                |                |
| GIT Investment Services, Inc.     | NFSC  | 0226           | GIMM                                |                |
| AOS, Inc.                         | TNTO  | 0364           | AOSC                                |                |
| Midas Securities, LLC             | PFSI  | 0234           | MDAS                                |                |
| Genesis Securities, LLC           | PFSI  | 0234           | GNDS                                |                |
| Phoenix Securities, Inc.          | PFSI  | 0234           | PHNX                                |                |
| San Francisco Securities, Inc.    | PFSI  | 0234           | SFSE                                |                |
| Stock USA Investments             | PFSI  | 0234           | SPTD                                |                |

|  | <u>Clearing Broker Identifiers</u> |                | <u>Executing Broker Identifiers</u> |                |
|--|------------------------------------|----------------|-------------------------------------|----------------|
|  | <u>Alpha</u>                       | <u>Numeric</u> | <u>Alpha</u>                        | <u>Numeric</u> |
| <b><u>Add First Trade Date, September 26, 2005:</u></b>                              |                                    |                |                                     |                |
| Aton Securities, Inc.  | MLCO                               | 0161           | ATON                                |                |
| <b><u>Clearing Broker Change, Effective First Trade Date September 21, 2005:</u></b> |                                    |                |                                     |                |
| From: TPR Investments, L.P.  | BHCS                               | 0632           | TPRI                                |                |
| To: TPR Investments, L.P.  | NFSC                               | 0226           | TPRI                                |                |
| From: Family Investors Company   | BHCS                               | 0632           | FAMV                                |                |
| To: Family Investors Company   | NFSC                               | 0226           | FAMV                                |                |
| From: Gerbro Securities, Inc.  | BHCS                               | 0632           | GERO                                |                |
| To: Gerbro Securities, Inc.  | NFSC                               | 0226           | GERO                                |                |
| From: Grodsky Associates, Inc.   | BHCS                               | 0632           | GROD                                |                |
| To: Grodsky Associates, Inc.   | NFSC                               | 0226           | GROD                                |                |
| From: IIG Horizons Securities, LLC   | BHCS                               | 0632           | IIGH                                |                |
| To: IIG Horizons Securities, LLC   | NFSC                               | 0226           | IIGH                                |                |
| From: JetTrade, Inc.   | BHCS                               | 0632           | JETT                                |                |
| To: JetTrade, Inc.   | NFSC                               | 0226           | JETT                                |                |
| From: Kevin Hart Kornfield & Company, Inc.   | BHCS                               | 0632           | KHKC                                |                |
| To: Kevin Hart Kornfield & Company, Inc.   | NFSC                               | 0226           | KHKC                                |                |
| From: U S G M Securities, Inc.   | BHCS                               | 0632           | USGM                                |                |
| To: U S G M Securities, Inc.   | NFSC                               | 0226           | USGM                                |                |
| From: Windsor Sheffield & Co., Inc.  | BHCS                               | 0632           | WISC                                |                |
| To: Windsor Sheffield & Co., Inc.  | NFSC                               | 0226           | WISC                                |                |
| From: N.D. Meyer & Co., Inc.   | BHCS                               | 0632           | NDME                                |                |
| To: N.D. Meyer & Co., Inc.   | NFSC                               | 0226           | NDME                                |                |

If you have any questions regarding this notice, please contact CarolAnn Amer at (212) 855-1691 or Kevin Launer at (212) 855-4132.