

# IMPORTANT NOTICE

National Securities Clearing Corporation



**A#:** 6128  
**P&S#:** 5698  
**DATE:** October 14, 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 firms will retire from all services as detailed below:  
**Last Trade Date, October 13, 2005:**  
Sage Life Assurance of America, Inc. No. 4608  
  
**Last Trade Date, October 14, 2005:**  
PFPC Distributors, Inc./Forward Fds Inc. No. 5889
- An additional number has been assigned to ALPS Distributors, Inc. (#5642) for the purpose of utilizing the Fund/SERV, Networking, Commission Settlement, and ACATS Fund/SERV services, as detailed below:  
**First Trade Date, October 17, 2005:**  
ALPS Distributors, Inc./Forward Funds No. 5889  
Networking Code: O8  
Contact: Steve Boatright  
Phone: (303) 623-2577
- The following Data Services Only member will begin participation in the Insurance Processing service, as detailed below:  
**First Trade Date, October 14, 2005:**  
Sage Life Assurance of America, Inc. No. 4608
- The following member of The Canadian Depository for Securities Ltd. will begin participation in the OTC Comparison service, as detailed below:  
**First Trade Date, October 20, 2005:**  
Wolverton Securities Ltd./CDS No. 5079  
OTC Alpha Identifier WTOF

- The following firms will no longer participate in the OTC Comparison service, as detailed below:

**Last Trade Date, October 14, 2005:**

Merrill Lynch Professional Clearing Corp/#5	No. 5118
OTC Alpha Identifier	SGCL*

*\*For more information regarding Merrill Lynch Professional Clearing Corp/#5 see below.*

**Last Trade Date, October 19, 2005:**

Wolverton Securities Ltd./CDS	No. 0662
OTC Alpha Identifier	WTOF

- The following firm will change its name only as detailed below:

**First Trade Date, October 13, 2005:**

From: BNP Paribas Brokerage Services	No. 5551
To: BNP Paribas Securities Corp.	No. 5551

- 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, October 13, 2005:</u></b> First Vantage Investments LLC	PFSI	0234	VNTG	
<b><u>Delete Last Trade Date, October 14, 2005:</u></b> RedSky Financial, LLC Trinix Securities LLC	SGCL PFSI	5118 0234	REDS TRNX	
<b><u>Add First Trade Date, October 12, 2005:</u></b> Tower Square Securities, Inc.	PERS	0443	TRSQ	
<b><u>Add First Trade Date, October 13, 2005:</u></b> J.H. Darbie & Co., Inc.	QRCC	0158	JDRB	
<b><u>Add First Trade Date, October 17, 2005:</u></b> Schonfeld & Company, LLC Deutsche Bank Securities Inc. * Merrill Lynch Professional Clearing Corp/#5	SILK DBAB PRST	0501 0573 0551	SHCO DBLV SGCL	
<b><u>Clearing Broker Change, Effective First Trade Date October 11, 2005:</u></b> From: ML Professional CC/Centurion Securities, LLC To: ML Professional CC/Centurion Securities, LLC	SGCL PRST	5118 0551	SGCS SGCS	
<b><u>Clearing Broker Change, Effective First Trade Date October 17, 2005:</u></b> From: Seaboard Securities, Inc. To: Seaboard Securities, Inc.	REFC PFSI	0116 0234	SEAC SEAC	

- 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, October 17, 2005:</u></b> Seaboard Securities, Inc.	PFSI	0234	SEAC	
<b><u>Add First Trade Date, October 19, 2005:</u></b> Brewer Financial Services, LLC	NFSC	0226	BRFS	
<b><u>Clearing Broker Change, Effective First Trade Date October 6, 2005:</u></b> From: Pennaluna & Company To: Pennaluna & Company	NFSC BHCS	0226 0632	PENA PENA	
<b><u>Clearing Broker Change, Effective First Trade Date October 13, 2005:</u></b> From: J.H. Darbie & Co., Inc. To: J.H. Darbie & Co., Inc.	BHCS QRCC	0632 0158	JDRB JDRB	

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