

# IMPORTANT NOTICE

National Securities Clearing Corporation



**A#:** 6135  
**P&S#:** 5705  
**DATE:** October 28, 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

**NOTE: Please disregard the notice to retire the following: Participant No. 8096 (Norstar Securities Intl Inc/CDS), and Participant No. 8191 (Loewen, Ondaatje, Mccotcheon Ltd/CDS) which appeared on Important Notice A#6133 (P&S#5703) dated October 21, 2005.**

- The following firms will retire from all services as detailed below:  
**Last Trade Date, October 26, 2005:**  
RTE Securities, Inc. No. 0507  
JMS Execution Services No. 0631  
  
**Last Trade Date, October 28, 2005:**  
Centurion Counsel Funds, Inc. No. 5683  
SunAmerica Securities Inc. No. 0144  
Sentra Securities Corporation No. 0182  
Sentra Securities Corporation/Spelman & Co., Inc. No. 0556  
  
**Last Trade Date, October 31, 2005:**  
BISYS Fund Services, LP/Old Westbury Funds, Inc. No. 5702  
Butler Larsen Pierce & Company Inc. No. 6962  
Cronin & Co., Inc. No. 7074
- The following firm will begin participation in the Networking, Commission Settlement and Insurance Processing services, as detailed below:  
**First Trade Date, October 31, 2005, 2005:**  
AIG Financial Advisors, Inc. No. 0144  
Networking Code: TL  
Contact: Lisa Kubica  
Phone: (602) 774-3010

- The following firms will begin participation in the Insurance Processing service, as detailed below:  
**First Trade Date, November 1, 2005:**  
Minnesota Life Insurance Company No. 4560  
PlanMember Securities Corporation No. 0489
- The following Data Services Only member will begin participation in the Insurance Processing service, as detailed below:  
**First Trade Date, October 28, 2005:**  
FirstMerit Insurance Agency, Inc. No. 7246
- Additional numbers have been assigned to AIG Financial Advisors, Inc. (#0144) for the purpose of utilizing the Networking, Commission Settlement and Insurance Processing services, as detailed below:  
**First Trade Date, October 31, 2005:**  
AIG Financial Advisors, Inc. / AF1 No. 0182  
Networking Code: A1  
Contact: Lisa Kubica  
Phone: (602) 774-3010  
  
**First Trade Date, October 31, 2005:**  
AIG Financial Advisors, Inc. / AF2 No. 0556  
Networking Code: A2  
Contact: Lisa Kubica  
Phone: (602) 774-3010
- The following firm will no longer participate in the AMEX Listed Comparison service, as detailed below:  
**Last Trade Date, October 27, 2005:**  
Timber Hill LLC No. 0549  
Listed Alpha Identifier THI
- 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, October 31, 2005:</u></b> Moors & Cabot Financial Advisors, LLC	NFSC	0226	MCFA	
<b><u>Clearing Broker Change, Effective First Trade Date October 25, 2005:</u></b> From: Regal Securities, Inc. To: Regal Securities, Inc.	BHCS PFSI	0632 0234	RGLD RGLD	
<b><u>Clearing Broker Change, Effective First Trade Date November 2, 2005:</u></b> From: Capitol Securities Management, Inc. To: Capitol Securities Management, Inc.	QRCC PERS	0158 0443	CSMI CSMI	

- 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>Add First Trade Date, October 27, 2005:</u></b> Wave Securities, LLC	ACRA	0436	WVAS	
<b><u>Add First Trade Date, October 31, 2005:</u></b> Fox River Execution Technology, LLC	BSSC	0352	FREX	
<b><u>Add First Trade Date, November 2, 2005:</u></b> Citicorp Financial Services Corporation	SBSH	0418	CFSC	
<b><u>Clearing Broker Change, Effective First Trade Date October 27, 2005</u></b> From: Loop Capital Markets, LLC To: Loop Capital Markets, LLC	MLCO	0161	LOOP	
	QRCC	0158	LOOP	
From: Gravitas, LLC To: Gravitas, LLC	SALI	0750	GRAV	
	SILK	0501	GRAV	

- 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 27, 2005:</u></b> Access Securities, Inc	PERS	0443	CBAL	
<b><u>Add First Trade Date, November 1, 2005:</u></b> Cronin & Co., Inc.	PERS	0443	CRON	

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