

# IMPORTANT NOTICE

National Securities Clearing Corporation



**A#:** 6319  
**P&S#:** 5889  
**DATE:** October 20, 2006  
**TO:** ALL PARTICIPANTS  
**ATTENTION:** MANAGER, PURCHASES AND SALES DEPARTMENT  
CASHIER, FUND/SERV PARTICIPANTS, ACATS PARTICIPANTS  
MUNICIPAL BOND COMPARISON PARTICIPANTS  
**FROM:** Pablo Cubi  
Membership Services  
**SUBJECT:** CHANGES IN THE LIST OF PARTICIPANTS

- As a result of a merger of Bank One Trust Co., N.A. – DTC #2255, (#2255) into JPMorgan Chase Bank, National Association, (#0902), with JPMorgan Chase Bank, National Association being the surviving entity, the following name change will occur:

**First Trade Date, October 23, 2006:**

From: Bank One Trust Co., N.A. – DTC #2255 No. 2255  
To: JPMorgan Chase Bank/PCS Shared Services No. 2255

*JPMorgan Chase Bank, National Association, #0902 will assume all open contracts of Bank One Trust Co., N.A. – DTC #2255, which are to be cleared or settled through or by JPMorgan Chase Bank, National Association.*

Note: Please direct all inquiries regarding the above to:  
JPMorgan Chase Bank/PCS Shared Services, (#2255)  
Contact Name: John Stelzer  
Phone: (614) 213-7142

- The following firm will retire from all services as detailed below:  
**Last Trade Date, October 19, 2006:**  
Legg Mason Investor Services, LLC/SB Global Horizon Funds No. 5544
- The following firm will no longer participate in the Commission Settlement service, as detailed below:  
**Last Trade Date, October 23, 2006:**  
Prime Capital Services, Inc. No. 0665

- The following firm will no longer participate in the ACATS service, as detailed below:  
**Last Trade Date, October 30, 2006:**  
Smith, Moore & Co. No. 0494
- The following firm will begin participation in the ACATS service as detailed below:  
**First Trade Date, November 07, 2006:**  
Smith, Moore & Co. No. 0494
- The following firms will change their names only, as detailed below:  
**First Trade Date, October 18, 2006:**  
From: ABN Amro Financial Services, Inc. No. 3924  
To: LaSalle Financial Services, Inc. No. 3924
- **First Trade Date, October 23, 2006:**  
From: AMEX - ITS Trades No. 0737  
To: American Stock Exchange Clearing LLC No. 0737
- From: AMEX Force Adjustment No. 0029  
To: American Stock Exchange Clearing LLC / Force Adjustment No. 0029
- From: American Stock Exchange Clearing Corp – PER No. 0620  
To: American Stock Exchange Clearing LLC / PER No. 0620
- From: American Stock Exchange Clearing Corp – APEX No. 0621  
To: American Stock Exchange Clearing LLC / APEX No. 0621
- From: American Stock Exchange Clearing Corporation No. 0625  
To: American Stock Exchange Clearing LLC / AMEX Book No. 0625
- From: SPDR Onbus Account No. 0714  
To: American Stock Exchange Clearing LLC / SPDR Omnibus Account No. 0714
- From: American Stock Exchange Clearing Corp – AUTO No. 0723  
To: American Stock Exchange Clearing LLC / AUTO No. 0723
- From: American Stock Exchange Clearing Corp – ASE No. 0724  
To: American Stock Exchange Clearing LLC / ASE No. 0724
- From: AMEX Universal Omnibus No. 0782  
To: American Stock Exchange Clearing LLC / Universal Omnibus No. 0782
- An additional number has been assigned to American Stock Exchange Clearing LLC (#0737) for the purpose of utilizing the RIO Report service, as detailed below:  
**First Trade Date October 23, 2006:**  
American Stock Exchange Clearing LLC/Direct Market Access No. 0622

- Kindly update the NSCC Directory dated September 29, 2006 (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>Delete Last Trade Date, October 18, 2006:</u></b> |                                    |                |                                     |                |
| Gilbert, Doniger & Co., Inc.                            | NFSC                               | 0226           | GDCO                                |                |
| Marquette Debarry Co., Inc.                             | NFSC                               | 0226           | MDEB                                |                |
| Neovest Trading   | NFSC                               | 0226           | VOLM                                |                |

- Kindly update the NSCC Directory dated September 29, 2006 (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 18, 2006:</u></b> |                                    |                |                                     |                |
| Wechsler & Co. Inc.                                     | BSSC                               | 0352           | WEKS                                |                |

**Add First Trade Date, October 20, 2006:**

|                              |      |      |      |  |
|------------------------------|------|------|------|--|
| C. L. Glazer & Company, Inc. | SILK | 0501 | CLGC |  |
|------------------------------|------|------|------|--|

**Executing Broker Name Change, Effective First Trade Date, October 18, 2006:**

|                        |      |      |      |  |
|------------------------|------|------|------|--|
| From: BATS, Inc.       | WEDZ | 0108 | BATS |  |
| To: BATS Trading, Inc. | WEDZ | 0108 | BATS |  |

**Clearing Broker Change, Effective First Trade Date, October 17, 2006:**

|                          |      |      |      |  |
|--------------------------|------|------|------|--|
| From: Lime Brokerage LLC | PFSI | 0234 | LIME |  |
| To: Lime Brokerage LLC   | SILK | 0501 | LIME |  |

**Clearing Broker Change, Effective First Trade Date, October 25, 2006:**

|                             |      |      |      |  |
|-----------------------------|------|------|------|--|
| From: Wedge Securities, LLC | BSSC | 0352 | GRMO |  |
| To: Wedge Securities, LLC   | SILK | 0501 | GRMO |  |

- Kindly update the NSCC Directory dated September 29, 2006 (for 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 06, 2006:</u></b> |                                    |                |                                     |                |
| Vision Investment Services, Inc.                      | PERS                               | 0443           | VISI                                |                |

If you have any questions regarding this notice, please contact Debra Mastrogiulio at (212) 855-1631.