

IMPORTANT NOTICE

National Securities Clearing Corporation



A#: 6785
P&S# 6355
Date: 02/06/2009
To: **ALL PARTICIPANTS**
Attention: OPERATIONS PARTNER/OFFICER;
MANAGER P&S DEPARTMENT;
CASHIER; ACATS PARTICIPANTS;
FUND/SERV PARTICIPANTS; MUNICIPAL BOND
COMPARISON PARTICIPANTS
From: Linda Shackleton, Account Administration
Subject: CHANGES IN THE LIST OF PARTICIPANTS

Special Note:

At the request of Wachovia Securities, LLC, effective 12:30 PM EST on Thursday, February 12, 2009, NSCC will no longer accept and process Commission transactions (COM) for Wachovia Securities Participant # 201. Any commission transactions sent to Wachovia Securities Participant # 201 with settlement dates after February 12, 2009 will be not processed and subsequently cancelled.

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

Last Trade Date, February 10, 2009:

Wachovia Securities, LLC

No. 0201

As of February 17, 2009, First Clearing, LLC (#0141) will assume all open contracts for Wachovia Securities, LLC (#0201), which are to be cleared or settled through or by National Securities Clearing Corporation.

Note: Please direct all inquiries regarding the above to:

Wachovia Securities, LLC (#0201)

Contact: Josh Neidhardt

Phone: (314) 955-3342

First Clearing, LLC (#0141)

Contact: Tom Ferrari

Phone: (314) 955-2027

- An additional number has been assigned to First Clearing, LLC (#0141) for the purpose of utilizing Fund/SERV, ACATS Fund/SERV, Networking, MF Profile I & II, Commission Settlement, ACATS IPS and Insurance Processing services as detailed below

First Trade Date, February 17, 2009:

First Clearing, LLC/Wachovia Securities LLC/201 No. 0201
 Networking Code: AG
 Contact: Mark Ross
 Phone: (314) 955-3798

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

Last Trade Date, February 02, 2009:

First Dominion Capital Corp. No. 0337

- The following firm will no longer participate in the Mutual Fund Profile Phase II service, as detailed below:

Last Trade Date, February 3, 2009:

Foreside Fund Services, LLC/Century Funds No. 5597

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

Effective First Trade Date, February 5, 2009:

From: Phoenix Equity Planning Corporation No. 5517
 To: VP Distributors, Inc. No. 5517

- The following firm will begin participation in the Insurance Processing Service as a Data Services Only member, as detailed below:

First Trade Date, February 5, 2009:

First Citizens Investors Services, Inc. No. 6347

- An additional number has been assigned to ALPS Distributors Inc.(#5642) for the purpose of utilizing Fund/SERV, Networking, Commission Settlement and ACATS Fund/SERV, as detailed below:

- **First Trade Date, February 10, 2009:**

ALPS Distributors/AQR Funds No. 5922
 Networking Symbol: 9L
 Contact: Brian Bishop
 Phone: (720) 917-0617

- Please update the NSCC Directory dated January 2, 2009 (for OTC Executed-By List and 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>
<u>Clearing Broker Change</u>				
<u>Effective First Trade Date, February 04, 2009</u>				
From: Searle & Co.	QRCC	0158	SERL	
To: Searle & Co.	PERS	0443	SERL	
<u>Delete Last Trade Date, February 5, 2009</u>				
Nexbank Securities Inc.	BSSC	0352	NXBK	
<u>Add First Trade Date, February 9, 2009</u>				
Wynston Hill Capital, LLC		0235	EXTF	

- Please update the NSCC Directory dated January 2, 2009 (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>
<u>Add First Trade Date February 9, 2009</u>				
Sturdivant & Co	ECUT	0100	STUR	
<u>Add First Trade Date February 11, 2009</u>				
GWM Group, Inc	NFSC	0226	RLCC	
<u>Add First Trade Date February 12, 2009</u>				
R.W. Pressprich & Co, Inc	PERS	0443	RWPC	
<u>Add First Trade Date February 25, 2009</u>				
Broad Street Securities	QRCC	0158	BDST	
<u>Executing Broker Name Change and Clearing Broker Change</u>				
<u>Effective First Trade Date: February 11, 2009</u>				
From: Richard L. Craig & Co.	SWST	0279	RLCC	
To: GWM Group, Inc.	NFSC	0226	RLCC	

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<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>

Delete Last Trade Date, February 10, 2009

GWM Group, Inc.

NFSC	0226	RLCC	
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If you have any questions regarding this notice, please contact Paul Du Jat at (813) 470-1221, Donald Schwartz (813) 470-1223 or e-mail NSCCAA@DTCC.com