

IMPORTANT NOTICE

National Securities Clearing Corporation



A#: 6790
P&S# 6360
Date: 02/13/2009
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

- 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 firms will retire from all services, as detailed below:

Last Trade Date, February 13, 2009:

Bank of America, N.A./US Trust No. 0931

Last Trade Date, February 18, 2009:

Resrv Partners Inc. No. 5720

- The following firm will no longer participate in the Trade Recording Trade Comparison, Recaps and Envelope Settlement services, as detailed below:

Last Trade Date, February 11, 2009:

Chapdelaine & Co. No. 6984

- The following firm will no longer participate in the Envelop Settlement service, as detailed below:

Last Trade Date, February 13, 2009:

LaBranche Financial Services, LLC No. 0215

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

Last Trade Date, February 27, 2009:

Trust Company of America No. 5981

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

Effective First Trade Date, February 12, 2009:

From: H&R Block Financial Advisors, Inc. No. 0756

To: Ameriprise Advisor Services, Inc. No. 0756

- The following firm will begin participation in the Commission Settlement and Insurance Processing services, as detailed below:

First Trade Date, February 12, 2009:

Beneficial Investment Services, Inc. No. 0267

- The following firm will begin participation in the ACATS and ACATS Fund/SERV services, as detailed below:

First Trade Date, February 17, 2009:

M.J Whitman, LLC No. 5829

- The following firm will begin participation in the Networking service, as detailed below:

First Trade Date, February 17, 2009:

Walthausen & Co. LLC	No.	5595
Networking Symbol:		20
Contact: Greg B. Getts		
Phone: (440) 922-0066 ext. 101		

- The following firms will begin participation in the Insurance Processing service, as detailed below:

First Trade Date, February 18, 2009:

ML Life Insurance Company of New York	No.	4638
Merrill Lynch Life Insurance Company	No.	4728

- 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</u>		<u>Executing Broker</u>	
<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>

Delete Last Trade Date, February 13, 2009

Shinko Securities (USA) Inc.	JEFF	0019	SHSE
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Add First Trade Date, February 17, 2009

SMH Capital Corp.	BSSC	0352	CCCM
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- 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>Delete Last Trade Date February 10, 2009</u> Keenan Securities	PFSI	0234	SMAX	
<u>Add First Trade Date February 10, 2009</u> Schonex, LLC	PFSI	0234	MLSI	
<u>Add First Trade Date February 11, 2009</u> Fortis Clearing Americas LLC	SHMR	0695	FTMG	

If you have any questions regarding this notice, please contact Donald Schwartz (813) 470-1223 or e-mail NSCCAA@DTCC.com