

# IMPORTANT NOTICE

## National Securities Clearing Corporation



**A#:** 6799  
**P&S#** 6369  
**Date:** 03/06/2009  
**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

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

**Last Trade Date, March 13, 2009:**

Ferris, Baker Watts, Inc.

No. 0039

*RBC Capital Markets Corporation (#235) will assume all open contracts for Ferris, Baker Watts, Inc. (#0039), which are to be cleared or settled through or by National Securities Clearing Corporation.*

Note: Please direct all inquiries regarding the above to:

Contact: Ritu Singh

Phone: (212) 858-6031

- The following firm will no longer participate in the Fund/SERV, Networking, Mutual Fund Profile Phase I & II, ACATS Fund/SERV and ACATS IPS services, as detailed below:

**Last Trade Date, March 6, 2009:**

First Clearing LLC/Wachovia Securities, LLC/201

No. 0201

*First Clearing LLC (#141) will assume all open contracts for First Clearing LLC/Wachovia Securities, LLC/201 (#201), which are to be cleared or settled through or by National Securities Clearing Corporation.*

Note: Please direct all inquiries regarding the above to:

Contact: Deanna Eichenmiller

Phone: (314) 955-1497

- The following firms will change their names only, as detailed below:

**Effective First Trade Date, March 09, 2009:**

From: PFPC Distributors, Inc./Van Wagoner Funds. No. 5537

To: PFPC Distributors, Inc./Embarcadero Funds No. 5537

**Effective First Trade Date, March 10, 2009:**

From: FRIESS Associates Inc. No. 4978

To: FRIESS Associates LLC No. 4978

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

**First Trade Date, March 9, 2009:**

Eaton Vance Distributors, Inc. No. 5509

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

**First Trade Date, March 4, 2009:**

AMCORE Investment Services, Inc. No. 6151

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

**First Trade Date, March 9, 2009:**

Reich & Tang Distributors, Inc./Account 2 No. 5845

Networking Symbol: 8P

Contact: Christopher Gill

Phone: (212) 830-5200

- An additional number has been assigned to Eaton Vance Distributors, Inc. (#5509) for the purpose of utilizing the Networking, Commission Settlement and Mutual Fund Profile Phase I services, as detailed below:

**First Trade Date, March 12, 2009:**

Eaton Vance Distributors Inc./Exchange Funds No. 5110

Networking Symbol: 9V

Contact: Kathleen Hester

Phone: (617) 937-3439

- The following firm will begin participation in the Mutual Fund Profile Phase I, as detailed below:

**First Trade Date, March 9, 2009:**

Ultimus Fund Distributors, LLC/Profit Funds Investment Trust

No. 6593

- 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>
<b><u>Add First Trade Date March 3, 2009</u></b> River Cross Securities, LP	PRST	0551	PRRX	
<b><u>Add First Trade Date March 9, 2009</u></b> Electronic Transaction Clearing, Inc. Wedbush Morgn Securities, Inc.	ETCC WEDB	0873 0103	ETCH WEDU	
<b><u>Add First Trade Date March 10, 2009</u></b> Electronic Brokerage Systems, LLC/Shadow	EBSC	0393	NCMF	

If you have any questions regarding this notice, please contact Fred Epstein (813) 470-1180 or e-mail NSCCAA@DTCC.com