

IMPORTANT NOTICE

National Securities Clearing Corporation



A#: 6801
P&S# 6371
Date: 03/13/2009
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, 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 firms will retire from all services as detailed below:

Last Trade Date, March 13, 2009:

Transamerica Occidental Life Insurance Company/Life Business	No. 4643
Transamerica Occidental Life Insurance Company/FL TRA Business	No. 4717
Transamerica Occidental Life Insurance Company	No. 4554
Peoples Benefit Life Insurance Co.	No. 4565
Life Investors Insurance Company of America	No. 4563
Life Investors Insurance Company of America	No. 4563
Quasar Distributors LLC/Fairholme Fund	No. 4870

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

Last Trade Date, March 13, 2009:

Davis (Shelby Cullom) & Co. L.P. No. 0316

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

Last Trade Date, March 13, 2009:

Merrill Lynch Professional Clearing CORP/PAX #1 No. 0671

- The following firm will begin participation in the NYSE Listed Comparison service, as detailed below:

Effective First Trade Date, March 13, 2008:

Instinet, LLC No. 0067
NYSE Listed Alpha Identifier INCA

- An additional number has been assigned to PFPC Distributors Inc. (#6658) for the purpose of utilizing the Fund/SERV, ACATS Fund/SERV, Networking and Mutual Fund Profile I services, as detailed below:

First Trade Date, March 16, 2009:

PFPC Distributors Inc./Fairholme Fund No. 4870

Networking Symbol: D4

Contact: Jayda Burke

Phone: (508) 871-3717

- An additional number has been assigned to Monumental Life Insurance Company (#4564) for the purpose of utilizing the Fund/SERV, Networking and Insurance Processing services, as detailed below:

First Trade Date, March 16, 2009:

Monumental Life Insurance Company/Peoples No. 4565

Networking Symbol: YL

Contact: Ron Frederick

Phone: (319) 355-8129

- An additional number has been assigned to Capital Guardian Trust Company (#4873) for the purpose of utilizing the Fund/SERV, Networking and Mutual Fund Profile Phase I services, as detailed below:

First Trade Date, March 17, 2009:

Capital Guardian Trust Company/Capital International Funds No. 5107
 Networking Symbol: 8S
 Contact: Jim Gorham Jr.
 Phone: (210) 474-4171

- 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>

Delete Last Trade Date, March 10, 2009

Butler Wick and Co., Inc.	FCCP	0141	BUWI
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Delete Last Trade Date, March 13, 2009

Riderwood Group (The)	NFSC	0226	PRMD
Fox & Company Investments, Inc.	NFSC	0226	FOXX
First Montauk Securities Corp.	NFSC	0226	FMSC

Add First Trade Date March 16, 2009

ICAP Corporates, LLC	MLCO	0161	GARQ
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<u>Clearing Broker Identifiers</u>		<u>Executing Broker Identifiers</u>	
<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>

Delete Last Trade Date, March 13, 2009

Merrill Lynch, Pierce, Fenner & Smith Incorporated	PXCO	0671	MLCP
Merrill Lynch, Professional Clearing Corp./PAX #1	PXCO	0671	PXCB
Merrill Lynch, Professional Clearing Corp./PAX #1	PXCO	0671	PXCD
Merrill Lynch, Professional Clearing Corp./PAX #1	PXCO	0671	PXCE
Merrill Lynch, Professional Clearing Corp./PAX #1	PXCO	0671	PXCF
Merrill Lynch, Professional Clearing Corp./PAX #1	PXCO	0671	PXCG
Merrill Lynch, Professional Clearing Corp./PAX #1	PXCO	0671	PXCH
Merrill Lynch, Professional Clearing Corp./PAX #1	PXCO	0671	PXCI

Merrill Lynch, Professional Clearing Corp./PAX #1	PXCO	0671	PXCK
Merrill Lynch, Professional Clearing Corp./PAX #1	PXCO	0671	PXCL
Torc Investments and Research LLC	PXCO	0671	TORX
Tradelink Securities, LLC	PXCO	0671	TRNK

Add First Trade Date March 10, 2009

Wedbush Morgan Securities, Inc.	WEDB	0103	WEDF
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Add First Trade Date March 12, 2009

Scottsdale Capital Advisors	ALPS	8072	JOHN
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Add First Trade Date March 13, 2009

Merrill Lynch, Pierce, Fenner & Smith, Inc.	MLCO	0161	MLTH
SMH Capital Inc.	SILK	0501	CCMK

Add First Trade Date March 16, 2009

Newedge USA, LLC	PCAP	0608	NALG
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Add First Trade Date April 1, 2009

Spreadzero, LLC	BNPS	0049	SZRO
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Clearing Broker Change Effective First Trade Date March 13, 2009

From: Merrill Lynch, Pierce, Fenner & Smith Inc.	PRST	0551	MLPK
To: Merrill Lynch, Pierce, Fenner & Smith Inc.	MLCO	0161	MLPK
From: Torc Investments & Research LLC.	PFSI	0234	TORG
To: Torc Investments & Research LLC	PRST	0551	TORGT

- Please update the NSCC Directory dated January 2, 2009 (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>

Add First Trade Date March 11, 2009

UBS Financial Services INC of Puerto Rico	PWJC	0221	PWPR
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If you have any questions regarding this notice, please contact Fred Epstein (813) 470-1180 or e-mail NSCCAA@DTCC.com