

# **IMPORTANT NOTICE**

**National Securities Clearing Corporation**



**A#:** 6807  
**P&S#** 6377  
**Date:** **April 1, 2009**  
**To:** All Participants  
**Attention:** **Managing Partner/Officer; P&S Manager; Cashier Manager, Data Processing Manager, Insurance Processing Manager, Mutual Fund Processing Manager**  
**From:** Enterprise Service Center  
**Subject:** **GOOD FRIDAY HOLIDAY SCHEDULE**

National Securities Clearing Corporation, the New York, Alternext and NASDAQ Stock Exchanges, the NASD System will be closed on Friday, April 10, 2009 in observance of Good Friday. The following changes in NSCC's operations and schedules will be in effect:

## **COMPARISON SYSTEMS:**

Trade input for OTC equities for trade date Thursday, April 9, 2009 will be accepted no later than 12:00 Midnight on Thursday, April 9, 2009. Trade input for the Real Time Transaction System (RTTM) for Corporate, Municipals, and UITs (CMU) for trade date Thursday, April 9, 2009 will be accepted no later than 8:00pm on Thursday, April 9, 2009.

## **REAL TIME TRANSACTION SYSTEM (RTTM) FOR CORPORATES, MUNICIPALS & UITs (CMU)**

Although interdealer trading activity in Municipal Bonds, Corporate Bonds and UITs may occur on Friday, April 10, 2009, participants are requested to submit such transactions to FICC's Real Time Trade Matching (RTTM) on Monday, April 13, 2009 using a trade date of April 13, 2009 for processing purposes. Firms should reference DTCC's December 20, 2007 New Project Update for information on how to code such Municipal trades:

<http://www.dtcc.com/products/documentation/cs/ficc/cmu/cmu.rttm.updates.issue31.pdf>

Firms can also reference MSRB's August 13, 2007 Notice on SEC approval relating to reporting special condition indicators for certain special trading situations:

<http://www1.msrb.org/msrb1/archive/2007/2007-25.asp>

Non-Confidential

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And MSRB's March 23, 2007 Notice on Reporting of Inter-Dealer transactions that occur outside of RTRS business day hours or on invalid RTTM trade dates:

<http://ww1.msrb.org/msrb1/archive/2007/2007-12.asp>

Comparison input for trades of April 10, 2009 and April 13, 2009 will, therefore be accepted no later than 8:00PM on Monday, April 13, 2009.

(Municipal customer trades executed on Good Friday April 10, 2009 should also be submitted to FICC's RTTM system on Monday April 13, 2009 for routing to MSRB's RTRS system. A trade date of April 10, 2009 can be accepted for customer transactions executed on April 10, 2009 that are reported on April 13, 2009.)

### **CONSOLIDATED TRADE SUMMARY AND SUPPLEMENTAL**

The Consolidated Trade Summary will be available on Thursday Evening, April 9, 2009. The Supplemental Consolidated Trade Summary, Cycle #1 will be available on Friday Night/Saturday Morning, April 10/11, 2009. Cycle #2 will be available on Monday, April 13, 2009.

### **CNS CONTINUOUS NET SETTLEMENT:**

Seg. Exemptions and Priority Requests for settlement of Monday, April 13, 2009 will be accepted on Thursday evening, April 9, 2009. Since DTC's systems will be available on Good Friday, NSCC's time schedules for CNS output will change. CNS activity normally due for distribution on Thursday night/Friday morning will be available to participants on Friday night/Saturday morning (24 hours later than usual). NSCC reports, and Machine Readable Output (MRO) affected by this change include:

<b>AUTOROUTE MRO</b>	<b>AUTOROUTE PRINT IMAGE #</b>	<b>REPORT NAME</b>
<b>02042022 (Y2K)</b>	<b>02040009</b>	<b>CNS PROJECTION REPORT FOR SETTLEMENT TUESDAY, APRIL 14, 2009</b>
<b>02042023 (Y2K)</b>	<b>02040005</b>	<b>CNS SETTLEMENT ACTIVITY STATEMENT (NIGHT CYCLE) FOR SETTLEMENT MONDAY, APRIL 13, 2009</b>
<b>02042008 (Y2K)</b>	<b>02040001</b>	<b>CNS MISCELLANEOUS ACTIVITY REPORT FOR SETTLEMENT MONDAY, APRIL 13, 2009</b>
<b>N/A</b>	<b>02040006</b>	<b>CNS PRELIMINARY CASH RECONCILIATION STATEMENT FOR SETTLEMENT MONDAY, APRIL 13, 2009</b>
<b>02042253 (Y2K)</b>	<b>02040252</b>	<b>CNS TENDER AND REORG REPORTS</b>
<b>02040890</b>	<b>02040891</b>	<b>CNS BUY IN ACTIVITY FOR SETTLEMENT TUESDAY, APRIL 14, 2009</b>
<b>02040949</b>	<b>02040948</b>	<b>CNS POSITION PRIOR TO DAY CYCLE REPORT FOR SETTLEMENT MONDAY, APRIL 13, 2009</b>
<b>02040951</b>	<b>02040950</b>	<b>CNS POSITION PRIOR TO NIGHT CYCLE REPORT FOR SETTLEMENT MONDAY, APRIL 13, 2009</b>

**ENVELOPE SETTLEMENT SYSTEM (ESS):**

No Deliver or Settlement Operations will be provided on Friday, April 10, 2009.

**INTER-CITY DELIVERIES:**

Inter-City Deliveries will be accepted on Thursday, April 9, 2009 for settlement Monday, April 13, 2009.

**STOCK BORROW PROGRAM:**

Stock Borrow availability information for the Night Cycle will be accepted on Thursday evening, April 9, 2009 for settlement Monday, April 13, 2009. The Daytime Stock Borrow for settlement Monday, April 13, 2009 will be accepted on Monday, April 13, 2009.

**ACAT - AUTOMATED CUSTOMER ACCOUNT TRANSFER:**

No ACAT activity will be accepted on Friday, April 10, 2009.

**ACAT - FUND/SERV INTERFACE:**

No ACAT-Fund/SERV Interface activity will be accepted on Friday, April 10, 2009.

**ACAT – COST BASIS:**

No ACAT- Cost Basis activity will be accepted on Friday, April 10, 2009.

**ACAT-IPS**

No ACAT-IPS activity will be accepted on Friday, April 10, 2009.

**MUTUAL FUND COMMISSION SETTLEMENT:**

No Mutual Fund Commission Settlement activity will be accepted on Friday, April 10, 2009.

**FUND/SERV AND NETWORKING:**

No Fund/SERV or Networking activity will be accepted on Friday, April 10, 2009. The Networking system **WILL** be available for processing on Saturday, April 11, 2009.

**INSURANCE PROCESSING:**

IPS files received on Friday, April 10, 2009 will be processed. **POV files will be transmitted on Friday, April 10, 2009** (refer to NSCC Important Notice A#6648, dtd June 20, 2008). Subsequent output regarding these files will be produced and distributed on Saturday, April 11, 2009. Insurance processing **WILL** be available on Saturday, April 11, 2009. There will be no Settlement provided on Friday, April 10, 2009.

Any questions regarding this notice can be directed to NSCC Relationship Services at (800) 422-0582 or the undersigned at (212) 855-5947.

**Robert Famigletti  
Manager  
Enterprise Service Center**