

# IMPORTANT NOTICE

## National Securities Clearing Corporation



**A#:** 6815  
**P&S#** 6385  
**Date:** 04/24/2009  
**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 firms will retire from all services, as detailed below:

**Last Trade Date, April 23, 2009:**

SEI Investments Dist. Co/Advisors Inner Circle II No. 5995

**Last Trade Date, April 24, 2009:**

Kelmoore Investments Co., Inc. No. 6585

**Last Trade Date, April 27, 2009:**

MBSC Securities Corporation/Mellon Institutional Funds No. 6558

**Last Trade Date, April 29, 2009:**

Ultimus Fund Distributors, LLC/Surgeons Diversified Investment Fund No. 6507

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

**Effective First Trade Date, April 27, 2009:**

From: Northern Lights Distributors, LLC/CMG Alternative Trading Strategies Fund No. 6541

To: Northern Lights Distributors, LLC/CMG Absolute Return Strategies Fund No. 6541

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

**First Trade Date, April 24, 2009:**

Citadel Derivatives Group, LLC No. 0395

Envelope Location: (New York)

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

**First Trade Date, April 24, 2009:**

Terra Nova Financial LLC/Biremis  
OTC Alpha Identifier:

No. 0607  
TNBI

- The following firm will begin participation in the Fund/SERV, Networking, Commission Settlement, Mutual Fund Profile Phase I & II, and ACATS Fund/SERV services, as detailed below:

**First Trade Date, April 27, 2009:**

BHIL Distributors, Inc.  
Networking Symbol:  
Contact: Christy Baker  
Phone: (614) 255-5547

No. 6532  
E0

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

**First Trade Date, April 29, 2009:**

Reliance Trust Company/SWMS2  
Reliance Trust Company/SWMS1

No. 2085  
No. 2042

- An additional number has been assigned to M.J. Whitman, LLC (#5829) for the purpose of utilizing the Fund/SERV, Networking, Commission Settlement, Mutual Fund Profile Phase I and ACATS Fund/SERV services, as detailed below:

**First Trade Date, April 29, 2009:**

M.J. Whitman, LLC/Third Avenue Capital PLC  
Networking Symbol:  
Contact: Martin Berry  
Phone: +353 53 91 49880

No. 5916  
EG

- Please update the NSCC Directory dated April 3, 2009 (for OTC Executed-By List and for Municipal Bond Comparison System) as detailed below:

<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, April 21, 2009**

Westminster Securities Corp.

PERS	0443	WMIN
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**Delete Last Trade Date, April 23, 2009**

Terra Nova Financial, LLC

TNTO	0364	TNBI
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**Clearing Broker Change Effective First Trade Date**

**May 6, 2009**

From : BMA Securities  
To: BMA Securities

PFSI	0234	PFBB
QRCC	0158	PFBB

- Please update the NSCC Directory dated April 3, 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, April 21, 2009</u></b>				
Penson Financial Services, Inc.	PFSI	0234	PFBB	
Penson Financial Services, Inc.	PFSI	0234	PFBD	
Fortis Clearing Americas LLC	SHMR	0695	HBIA	
<b><u>Add First Trade Date, April 24, 2009</u></b>				
First Republic Securities Co.	PERS	0433	FSRP	
<b><u>Add First Trade Date, May 1, 2009</u></b>				
Penson Financial Services Inc.	ITGI	0099	PFAR	

- Please update the NSCC Directory dated April 3, 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>
<b><u>Add First Trade Date April 22, 2009</u></b>				
Lifemark Securities Corp.	NFSC	0226	LMAR	
<b><u>Clearing Broker Change Effective First Trade Date April 24, 2009</u></b>				
From: TRIAD Securities, Corp	PERS	0443	TIAD	
To: TRIAD Securities, Corp	QRCC	0158	TIAD	
<b><u>Delete Last Trade Date, April 24, 2009</u></b>				
UCB Investment Services, Inc.	NFSC	0226	UCBI	

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