

# IMPORTANT NOTICE

**National Securities Clearing Corporation**



**A#:** 6820  
**P&S#** 6390  
**Date:** 05/08/2009  
**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, May 12, 2009:**

Tradebridge, Inc. / TPA No. 7134

- The following firm will no longer participate in the Fund/SERV and Networking services, as detailed below:

**Last Trade Date, May 5, 2009:**

State St. Bk. & Tr Co. / Mercantile Safe-Dep & Tr Co. No. 5974

- The following firm will no longer participate in the Fund/SERV, Networking, and Commission Settlement services, as detailed below:

**Last Trade Date, May 5, 2009:**

State Street Bank & Trust Co. / Alliance Global Investor Services, Inc. No. 0490

- The following firm will no longer participate in the OTC and Muni Comparison services, as detailed below:

**Last Trade Date, May 12, 2009:**

Fagenson & Co., Inc. No. 0476

OTC Alpha Identifier: FAGI

Muni Alpha Identifier: FAGI

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

**Effective First Trade Date, May 6, 2009:**

From: Citistreet Advisors LLC	No. 0291
To: ING Investment Advisors, LLC	No. 0291
From: Citistreet Advisors LLC/TPA Accounts	No. 0591
To: ING Investment Advisors, LLC/TPA Accounts	No. 0591

- An additional number has been assigned to Quasar Distributors, LLC (#5869) 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, May 8, 2009:**

Quasar Distributors, LLC / Perritt Funds	No. 5602
Networking Symbol:	G4
Contact: Casey Sauer	
Phone: (414) 347-5766	

- The following firm will change its NYSE Listed Alpha Identifier as detailed below:

**First Trade Date, May 11, 2009:**

From: Barclays Capital Inc. / LE	No. 0229
Listed Alpha Identifier:	LB
To: Barclays Capital Inc. / LE	No. 0229
Listed Alpha Identifier:	BARC

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

**First Trade Date, May 18, 2009:**

Mitsubishi UFJ Securities (USA), Inc.	No. 0076
OTC Alpha Identifier:	MUFG
Contact: Eiko Mishima	
Phone: (212) 405-7150	

- 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 Identifiers</u>		<u>Executing Broker Identifiers</u>	
	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<b><u>Delete Last Trade Date, May 7, 2009</u></b> Strasbourg Pearson Tulcin Wolfe, Incorporated	PERS	0443	SPTW	
<b><u>Add First Trade Date, May 6, 2009</u></b> Terminus Securities, Inc.	MSRO	0727	TRMS	
<b><u>Add First Trade Date, May 8, 2009</u></b> Mizuho Securities USA, Inc.	MLCO	0161	MZHX	
<b><u>Add First Trade Date, May 11, 2009</u></b> Hightower Securities, LLC	BSSC	0352	HTJP	
<b><u>Executing Broker Name Change</u></b> <b><u>Effective First Trade Date, May 11, 2009</u></b> From : ECN Trading, LLC To : TWS Financial, LLC	PFSI PFSI	0234 0234	TWSF TWSF	
<b><u>Clearing Broker Change Effective First Trade Date</u></b> <b><u>May 13, 2009</u></b> From : Fagenson & Co., Inc. To: Fagenson & Co., Inc.	FAGI QRCC	0476 0158	FAGI FAGI	

- 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, May 11, 2009</u></b> Esposito Securities, LLC	PERS	0443	ESPP	

**Clearing Broker Change Effective First Trade Date**  
**May 11, 2009**

From : Kingside Partners, LLC  
To: Kingside Partners, LLC

SILK	0501	KPRT
WEDB	0103	KPRT

**Clearing Broker Change Effective First Trade Date**  
**May 18, 2009**

From : Mitsubishi UFJ Securities (USA), Inc.  
To: Mitsubishi UFJ Securities (USA), Inc.

LAZA	0308	MUFG
MUFG	0076	MUFG

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