

# IMPORTANT NOTICE

**National Securities Clearing Corporation**



**A#:** 6823  
**P&S#** 6393  
**Date:** 05/15/2009  
**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 8, 2009:**

Northern Lights Distributors, LLC / The Kids Fund No. 5105

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

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

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

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

Legg Mason Investor Services, LLC / LM Instl Funds Advisors No. 5652

Legg Mason Investor Services, LLC / Cititrust Offshore No. 5831

- The following firm will no longer participate in the NYSE Comparison service, as detailed below:

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

Prudential Equity Group, Inc. No. 0583

NYSE Alpha Identifier: PRU

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

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

Mitsubishi UFJ Securities (USA), Inc. No. 0076

- The following firm will begin participation in the OTC Comparison, ACATS, RECAPS, and Envelope Settlement services, as detailed below:

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

Virtu Financial BD LLC.

OTC Alpha Identifier:

Envelope Location: (New York)

No. 0063

VRTU

- 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>

**Executing Broker Name Change, Effective First Trade Date May 12, 2009**

From: Fixed Income Securities, L.P.

To: Advisors Asset Management, Inc.

PERS	0443	FISA
PERS	0443	FISA

**Add First Trade Date, May 15, 2009**

Meeschaert Capital Markets, Inc.

SWST	0279	WMEI
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- 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>

**Delete Last Trade Date, May 13, 2009**

Tradetrek Securities, LLC

BSSC	0352	TREK
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**Add First Trade Date, May 12, 2009**

Tradedesk Financial Corp.

PRST	0551	SMAX
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**Add First Trade Date, May 15, 2009**

Wedbush Morgan Securities, Inc.

Stephen M Ferretti Inc.

WEDB	0103	WMBK
QRCC	0158	STEP

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

Kellogg Specialist Group, LLC	PRST	0551	KSGB
Kellogg Specialist Group, LLC	PRST	0551	KELL

- Please update the NSCC Directory dated April 3, 2009 (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>

**Executing Broker Name Change, Effective First Trade Date May 12, 2009**

From: Fixed Income Securities, L.P.	NFSC	0226	FISB
To: Advisors Asset Management, Inc.	NFSC	0226	FISB

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