

# **IMPORTANT NOTICE**

**National Securities Clearing Corporation**



**A#:** 6915  
**P&S#** 6485  
**Date:** **December 16, 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:** **NEW YEAR'S DAY SCHEDULE**

National Securities Clearing Corporation, the NYSE & NASDAQ Exchanges, FINRA, OTC Marketplaces and all New York Banks will be closed on Friday, January 1, 2010 in observance of New Years Day. The following changes in NSCC's operations and schedules will be in effect:

## **COMPARISON SYSTEMS:**

Trade input for OTC equities for trade date Thursday, December 31, 2009 will be accepted no later than 12:00 Midnight on Thursday, December 31, 2009. Trade input for the Real Time Transaction System (RTTM) for Corporates, Municipals and UITS (CMU) for trade date Thursday, December 31, 2009 will be accepted no later than 8:00 pm on Thursday, December 31, 2009.

## **CNS CONTINUOUS NET SETTLEMENT:**

Seg. Exemptions and Priority Requests for settlement of Monday, January 4, 2010 will be accepted on Thursday Evening, December 31, 2009.

## **CENTRAL DELIVERY AND SETTLEMENT (ESS):**

No Deliver or Settlement Operations will be provided on Friday, January 1, 2010.

## **INTER-CITY DELIVERIES (IESS):**

Inter-City Deliveries will be accepted on Thursday, December 31, 2009 for settlement Monday, January 4, 2010.

Non-Confidential

DTCC is now offering enhanced access to all important notices via a new, Web-based subscription service. The new notification system leverages RSS Newsfeeds, providing significant benefits including real-time updates and customizable delivery. To learn more and to set up your own DTCC RSS alerts, visit [http://www.dtcc.com/subscription\\_form.php](http://www.dtcc.com/subscription_form.php).

**STOCK BORROW PROGRAM:**

Stock Borrow availability information for the Night Cycle will be accepted on Thursday, December 31, 2009 for settlement Monday, January 4, 2010. The Daytime Stock Borrow for settlement Monday, January 4, 2010 will be accepted on Monday, January 4, 2010.

**ACAT - AUTOMATED CUSTOMER ACCOUNT TRANSFER:**

No ACAT activity will be accepted on Friday, January 1, 2010

**ACAT - FUND/SERV INTERFACE:**

No ACAT-Fund/SERV Interface activity will be accepted on Friday, January 1, 2010.

**ACAT – COST BASIS:**

No ACAT- Cost Basis activity will be accepted on Friday, January 1, 2010.

**ACATS/IPS**

No ACATS/IPS Interface activity will be accepted on Friday, January 1, 2010.

**MUTUAL FUND COMMISSION SETTLEMENT:**

No Mutual Fund Commission Settlement activity will be accepted on Friday, January 1, 2010.

**FUND/SERV AND NETWORKING:**

No Fund/SERV or Networking activity will be accepted on Friday, January 1, 2010. Networking Activity **will be** accepted on Saturday, January 2, 2010.

**INSURANCE PROCESSING:**

IPS files received on Friday, January 1, 2010 will be processed. **POV files will be transmitted on Friday, January 1, 2010** (refer to NSCC Important Notice A#6648, dtd June 30, 2008). Subsequent output regarding all other files will be produced and distributed on Saturday, January 2, 2010.

Questions regarding this Important Notice should be directed to Participant Services at (800) 422-0582 or the undersigned at (212) 855-5947.

Robert Famigletti  
Manager  
Enterprise Service Center