

IMPORTANT NOTICE

National Securities Clearing Corporation



A#: 6975
P&S# 6545
Date: 04/01/10
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, March 31, 2010:

Cazenove Incorporated
OTC Alpha Identifier:

No. 5117
CAZE

J.P. Morgan Clearing Corp. (#0352) will assume all open contracts for Cazenove Incorporated (#5117), which are to be cleared or settled through or by National Securities Clearing Corporation.

Note: Please direct all inquiries regarding the above to:

Contact: Bob Cavallo
Phone: 347-643-2424

- The following firms will retire from all services, as detailed below:

Last Trade Date, March 30, 2010:

American Stock Exchange Clearing LLC / Force Adjustment	No. 0029
American Stock Exchange Clearing LLC / Per	No. 0620
American Stock Exchange Clearing LLC / Apex	No. 0621
American Stock Exchange Clearing LLC / Direct Market Access	No. 0622
American Stock Exchange Clearing LLC / Amex Book	No. 0625
American Stock Exchange Clearing LLC / Auto	No. 0723
American Stock Exchange Clearing LLC / Ase	No. 0724
American Stock Exchange Clearing LLC / Universal Omnibus	No. 0782

Last Trade Date, March 31, 2010:

Skandia Securities Americas, Inc. No. 5826

Last Trade Date, April 1, 2010:

SSH Securities, Inc. No. 5484

Last Trade Date, April 6, 2010:

Quasar Distributors, LLC / Light Revolution Fund No. 5445

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

Last Trade Date, March 30, 2010:

First Dominion Capital Corp / Epoch Funds No. 4939

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

Effective First Trade Date, April 1, 2010:

From: Daiwa Securities America Inc. No. 0647

To: Daiwa Capital Markets America Inc. No. 0647

- The following firm will begin participation in the Insurance Processing services, as detailed below:

First Trade Date, April 1, 2010:

Portfolio Brokerage Services Inc. No. 8052

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

First Trade Date, April 1, 2010:

Robeco Trust Company No. 5325

- An additional number has been assigned to Foreside Distribution Services, LP (#4967) for the purpose of utilizing the Networking, Commission Settlement, Fund/SERV and MF-Daily Price and Rate File services, as detailed below:

First Trade Date, April 1, 2010:

Foreside Distribution Services, LP / Skandia Global Funds PLC No. 5826

Networking Symbol: CJ

Contact: Dane Schmidt

Phone: 00353 1 479 2326

- An additional number has been assigned to Mizuho Securities (USA) Inc. (#0892) for the purpose of utilizing the Corporate Bond service, as detailed below:

First Trade Date, April 1, 2010:

Mizuho Securities (USA) Inc. / Fixed Income No. 2396

- An additional number has been assigned to BlackRock Investments LLC (#5882) for the purpose of utilizing the Networking, Commission Settlement, Fund/SERV and MF-Daily Price and Rate File services, as detailed below:

First Trade Date, April 1, 2010:

BlackRock Investments LLC /ICS No. 5123

Networking Symbol: M8

Contact: Liz Tracey

Phone: 4420 7743 5357

- The following Data Service Only members will begin participation in the Insurance Processing Service, as detailed below:

First Trade Date, April 5, 2010:

LLK Insurance Brokerage Services, LLC	No.	6009
Raymond J. Lucia Companies, Inc.	No.	6010

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

First Trade Date, April 1, 2010:

Riversource Fund Distributors, Inc. / Trust Collective Funds	No.	4843
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- Please update the NSCC Directory dated January 4, 2010 (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>
<u>Add First Trade Date, March 30, 2010</u>				
Stonecastle Securities, LLC	MLCO	0161	SCSS	
MPS Global Securities, LLC	MLCO	0161	MPSG	

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	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<u>Delete Last Trade Date, March 30, 2010</u>				
Alliance Advisory & Securities, Inc.		0235	ALAD	
<u>Delete Last Trade Date, March 31, 2010</u>				
Wedbush Morgan Securities, Inc.	WEDB	0103	WMSA	
Wedbush Morgan Securities, Inc.	WEDB	0103	WNAC	
Wedbush Morgan Securities, Inc.	WEDB	0103	WEDV	
Pelion Securities Corp	SWST	0279	FFSC	
Raven Securities Corp.	SILK	0501	RAVE	

Add First Trade Date, April 1, 2010

Fortis Clearing Americas LLC.	SHMR	0695	EWTF
Fortis Clearing Americas LLC.	SHMR	0695	FMGF
Fortis Clearing Americas LLC.	SHMR	0695	VIRF
Fortis Clearing Americas LLC.	SHMR	0695	CPSF
ICAP Corporates LLC	SILK	0501	GARZ

Add First Trade Date, April 5, 2010

Electronic Transaction Clearing, Inc.	ETCC	0873	ETAE
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Add First Trade Date, April 9, 2010

Evercore Group LLC.

PERS 0443 EVRC

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<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>

Delete Last Trade Date, April 1, 2010

Brentworth & Co, Inc.

NFSC 0226 BREN

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