

IMPORTANT NOTICE

National Securities Clearing Corporation



A#: 6981
P&S# 6551
Date: 04/16/10
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 firms will retire from all services, as detailed below:

Last Trade Date, April 14, 2010:

Fortis Sec/Fortis Bank, NY Branch	No.	7517
InTrade, LLC	No.	0238

Last Trade Date, April 16, 2010

UMB Distribution Services, LLC/Marshall Funds	No.	6561
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- The following firms will change their names only, as detailed below:

Effective First Trade Date, April 16, 2010:

From: Calyon Securities (USA) Inc.	No.	0651
To: Credit Agricole Securities (USA) Inc.	No.	0651

From: LLBW Securiteis Inc.	No.	0181
To: Guggenheim Liquidity Services, LLC	No.	0181

Effective First Trade Date, April 19, 2010:

From: Dresdner Kleinwort Securities LLC\t	No.	0126
To: Commerz Markets LLC	No.	0126

From: J.P. Morgan Securities, Inc. / Fixed Income	No.	0187
To: J.P. Morgan Securities Inc.	No.	0187

From: J.P. Morgan Securities, Inc.	No.	0060
To: J.P. Morgan Securities Inc./NYSE	No.	0060

- The following firms will begin participation in the ACATS Fund/SERV service, as detailed below:
First Trade Date , April 15, 2010:
Eaton Vance Distributors, Inc. / Emerald Funds No. 5438
Eaton Vance Distributors, Inc. /Medallion Funds No. 5715
- The following firm will begin participation in the Commission Settlement service, as detailed below:
First Trade Date , April 15, 2010:
Mainsail Group, LLC No. 5411
- The following firm will begin participation in the MF-Daily Price and Rate service, as detailed below:
First Trade Date , May 1, 2010:
Westchester Capital Management, Inc. No. 6601
- The following participant of the Depository Trust Company will begin participation in the ACATS services as detailed below:
First Trade Date, May 3, 2010.:
Daiwa Securities Trust Company No. 0667
- An additional number has been assigned to M&I Distributors LLC (#5352) for the purpose of utilizing Fund/SERV, Networking MF Profile Service, Commission Settlement and ACATS Fund/SERV services, as detailed below:
First Trade Date, April 19, 2010
M&I Distributors LLC/Marshall Funds No. 6561
Networking Symbol: D7
Contact: Bill Curtis
Phone: (414)765-7674
- 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</u>		<u>Executing Broker</u>	
	<u>Identifiers</u>		<u>Identifiers</u>	
	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<u>Add First Trade Date, April 15, 2010</u>				
Electronic Securities Processing (ESP) LLC	BSSC	0352	ESPJ	
Raven Securities Corp.	BSSC	0352	RAVV	
SEI Investments Distribution	BSSC	0352	SEIC	

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	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<u>Delete Last Trade Date, April 14, 2010</u> Inteltrade.com	WEDB	0103	QUIK	
<u>Delete Last Trade Date, April 15, 2010</u> JNK Securities Corp.	SILK	0501	JNKL	
<u>Add First Trade Date, April 13 2010</u> Fortis Clearing Americas LLC. Quantlab Securities LP	SHMR SHMR	0695 0695	RTSF FQLS	
<u>Add First Trade Date, April 14, 2010</u> First Midwest Securities, Inc.	PFSI	0234	FSTM	
<u>Add First Trade Date, April 15 2010</u> Wedbush Morgan Securities Inc.	WEDB	0103	WMWK	
<u>Add First Trade Date, April 19, 2010</u> MVP Financial, LLC Height Securities, LLC Pragma Securities LLC Fortis Clearing Americas LLC	VSIN JEFF MLCO SHMR	0595 0019 0161 0695	FMVP HITS PRAG ALGF	
<u>Clearing Broker Change Effective First Trade Date April 28, 2010</u> From: Hudson Securities, Inc. To: Hudson Securities, Inc.	QRCC MLCO	0158 0161	HDSN HDSN	
From: Hudson Securities, Inc. To: Hudson Securities, Inc.	QRCC MLCO	0158 0161	HDSM HDSM	

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	<u>Clearing Broker Identifiers</u>		<u>Executing Broker Identifiers</u>	
	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<u>First Trade Date, April 19, 2010</u> Sage Southeastern Securities, Inc.	NFSC	0226	SSEI	
<u>First Trade Date, April 28, 2010</u> Hudson Securities, Inc. Hudson Securities, Inc.	MLCO MLCO	0161 0161	HDSN HDSM	

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