

IMPORTANT NOTICE

National Securities Clearing Corporation



A#: 6985
P&S# 6555
Date: 04/30/10
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, April 30, 2010:

Morgan Stanley & Co. Incorporated/Retail

No. 0015

Morgan Stanley Smith Barney LLC will assume all open contracts for Morgan Stanley & Co. Incorporated/Retail (#0015), which are to be cleared or settled through or by National Securities Clearing Corporation.

Consequently, Morgan Stanley Smith Barney LLC will assume and open the following account, retaining all current services.

First Trade Date, May 3, 2010:

Morgan Stanley Smith Barney LLC

No. 0015

OTC Alpha Identifier:

DEAN

NYSE Alpha Identifier:

D

Note: Please direct all inquiries regarding the above to:

Morgan Stanley & Co. Incorporated

Contact: Darlene Charalambous and Joe Spano

Phone: (718) 754-7413 (Darlene) / (718) 754-2132 (Joe)

Morgan Stanley Smith Barney LLC

Contact: Michael Calandra

Phone: (201) 830-4712

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

First Trade Date, May 3, 2010

Wegener Investment Trust
 Networking Symbol:
 Contact: Steve Wegener
 Phone: 703-282-9380

No. 5361
 00

- The following firm will begin participation in the Commission Settlement service, as detailed below:

First Trade Date, May 3, 2010

PFPC Distributors, Inc./Spirit of America Funds

No. 5362

- 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>Delete Last Trade Date, April 29, 2010</u> Quantlab Securities, LP	BSSC	0352	QLAB	

- Please update the NSCC Directory dated January 4, 2010 (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>
<u>Delete Last Trade Date, April 29, 2010</u> Wedbush Morgan Securities, Inc.	BSSC	0352	WMSQ	
<u>Add First Trade Date, April 27, 2010</u> Millington Securities, Inc.	SWST	0279	MTON	
<u>Add First Trade Date, April 28, 2010</u> RGM Securities, LLC WR Hamburg & Co LLC	WEDB SILK	0103 0501	HBIW HESG	
<u>Add First Trade Date, April 30, 2010</u> MEB Options, Inc. Wedbush Morgan Securities, Inc.	PRST PFSI	0551 0234	MEBO WMQP	
<u>Add First Trade Date, May 3, 2010</u> Newedge USA, LLC Newedge USA, LLC	PCAP PCAP	0608 0608	NEBW NECT	

Add First Trade Date, May 7, 2010

BATS Trading, Inc.

WEDB 0103 BYXX

**Clearing Broker Change Effective First Trade Date,
April 29, 2010**

From: Penson Financial Services, Inc.

PFSI 0234 PFAW

To: Penson Financial Services, Inc.

SILK 0501 PFAW

- Please update the NSCC Directory dated January 4, 2010 (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>

Add First Trade Date, April 27, 2010

Multi-Bank Securities, Inc.

PERS 0443 MTBK

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