

# Notice to Members

SEPTEMBER 2002

## SUGGESTED ROUTING

Internal Audit  
Legal & Compliance  
Municipal/Government Securities  
Operations  
Trading & Market Making

## KEY TOPICS

Holiday Trade Date—Settlement Date  
Schedule

## Trade Date—Settlement Date

### Columbus Day

The schedule of trade dates-settlement dates below reflects the observance by the financial community of Columbus Day, Monday, October 14, 2002. On this day, The NASDAQ Stock Market and the securities exchanges will be open for trading. However, it will not be a settlement date because many of the nation's banking institutions will be closed.

Trade Date	Settlement Date	Reg. T Date*
Oct. 8	Oct. 11	Oct. 15
9	15	16
10	16	17
11	17	18
14	17	21
15	18	22

**Note:** October 14, 2002, is considered a business day for receiving customers' payments under Regulation T of the Federal Reserve Board.

Transactions made on Monday, October 14, will be combined with transactions made on the previous business day, October 11, for settlement on October 17. Securities will not be quoted ex-dividend, and settlements, marks to the market, reclamations, and buy-ins and sell-outs, as provided in the Uniform Practice Code, will not be made and/or exercised on October 14.

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\* Pursuant to Sections 220.8(b)(1) and (4) of Regulation T of the Federal Reserve Board, a broker/dealer must promptly cancel or otherwise liquidate a customer purchase transaction in a cash account if full payment is not received within five business days of the date of purchase or, pursuant to Section 220.8(d)(1), make application to extend the time period specified. The date by which members must take such action is shown in the column titled "Reg. T Date."

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