

# IMPORTANT NOTICE

National Securities Clearing Corporation



**A#:** 6547  
**P&S#:** 6117  
**DATE:** December 14, 2007  
**TO:** ALL PARTICIPANTS  
**ATTENTION:** MANAGER, PURCHASES AND SALES DEPARTMENT  
CASHIER, FUND/SERV PARTICIPANTS, ACATS PARTICIPANTS  
MUNICIPAL BOND COMPARISON PARTICIPANTS  
**FROM:** Linda Shackleton  
Account Administration  
**SUBJECT:** CHANGES IN THE LIST OF PARTICIPANTS

*Correction to Important Notice A#6544 (P&S#6114) dated December 07, 2007. The correct name for Participant No. 5598 is UMB Distribution Services LLC/Westport Funds.*

- The following firm will retire from all services as detailed below:  
**Last Trade Date, December 14, 2007:**  
Van Der Moolen Specialists, USA LLC No. 0055
- The following firm will no longer participate in the ACATS service, as detailed below:  
**Last Trade Date, January 03, 2008:**  
First American Trust Company No. 5989
- The following firms will begin participation in the Networking service, as detailed below:  
**First Trade Date, December 14, 2007:**  
National Integrity Life Insurance Company No. 4550  
Networking Code: UP  
Contact: Jay Stevens  
Phone: (513) 362-7882

Integrity Life Insurance Company No. 4549  
Networking Code: UO  
Contact: Jay Stevens  
Phone: (513) 362-7882

**First Trade Date, January 02, 2008:**

Capital Guardian Trust Company No. 4873  
Networking Code: U4  
Contact: Michael Burik  
Phone: (310) 996-6000

- The following firm will change its MUNI, OTC Symbol, as detailed below:

**Effective First Trade Date, December 17, 2007:**

From: Broadpoint Capital, Inc. No. 0312  
MUNI, OTC Identifier: FACT

To: Broadpoint Capital, Inc. No. 0312  
MUNI, OTC Identifier: BPSG

- An additional number has been assigned to Lehman Brothers Inc (#0074) for the purpose of utilizing the NYSE Listed Comparison and RECAPS services, as detailed below:

**First Trade Date, December 17, 2007:**

Lehman Brothers Inc/Lehman Brothers Marketmaker No. 0055  
Listed Alpha Identifier: VDM

- The following firm will begin participation in the When Issued Municipal Bond Comparison System, as detailed below:

**First Trade Date, December 13, 2007:**

D.J. St. Germain Co., Inc. No. 6565  
Muni Alpha Identifier DJST

- Kindly update the NSCC Directory dated October 11, 2007 (for OTC Executed-By-List and Municipal Bond Comparison System) as detailed below:

	<u>Clearing Broker Identifiers</u>	<u>Executing Broker Identifiers</u>
<b><u>Add First Trade Date, December 12, 2007:</u></b>		
R.F. Lafferty & Co., Inc.	0235	LAFB

- Kindly update the NSCC Directory dated October 11, 2007 (for OTC Executed-By List) as detailed below:

	<u>Clearing Broker Identifiers</u>	<u>Executing Broker Identifiers</u>
<b><u>Delete Last Trade Date, December 14, 2007:</u></b>		
Torrey Pines Securities Inc.	NFSC 0226	TORY
<b><u>Add First Trade Date, January 03, 2008:</u></b>		
S.J. Levinson & Sons LLC	AFCO 0284	SJLS

If you have any questions regarding this notice, please contact Kevin Edwards at (212) 855-1545.