

MONTH END ACTIVITY REPORT

Bureau of Securities March 2010

Securities Registrations			
Filing/Security Type	Paper	Electronic	Total
Additional	127	383	510
Oversales	1	0	1
Renewal Filings	392	1,167	1559
New Notice Filings	224	56	280
Common Stock	0	0	0
Limited Partnerships	1	0	1
Preferred Stock	0	0	0
REIT	2	0	2
Debt	0	0	0
Qualification	0	0	0
Other	0	0	0
Denials	0	0	0
Sales of Unregistered Securities	0	0	0
Withdrawals	1	0	1

Broker-Dealers and Broker-Dealer Agents			
Broker-Dealers			
Activity	FINRA	Non-FINRA	Total
New	12	0	12
Applications Withdrawn/Abandoned	3	0	3
Applications Denied	0	0	0
Terminations	0	0	0
Gain/Loss Broker-Dealers	9	0	9
Total BD's Registered as of March 31, 2010	1383	28	1411
Broker-Dealer Agents			
Activity	FINRA	Non-FINRA	Total
New (Includes Automatic, Manual, Temp. Queues)	1940	0	1940
Denied	0	0	0
Terminations	923	0	923
Gain/Loss Agents	1028	0	1028
Total BD Agents Registered as of March 31, 2010	71822	53	71875

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Investment Advisers and Representatives			
Investment Advisers			
Activity	State	Federal	Total
New	2	39	41
Applications Withdrawn	0	0	0
Registrations Terminated/Withdrawn	2	6	8
Denied	0	0	0
Gain/Loss effective registrations	0	33	33
Total IA's Registered as of March 31, 2010	66	1024	1090
Investment Adviser Representatives			
Activity	State	Federal	Total
New	7	46	53
Denied	0	0	0
Terminated	7	18	25
Gain/Loss effective registrations	0	28	28
Total IAR's Registered as of March 31, 2010	172	3035	3207

Exemptions			
Exemption Type	Number		
8-1108.02(2)	3		
8-1108.02(3)	0		
8-1111(16)	0		
8-1110(5)(b)	0		
8-1111(20)	0		
8-1110(8)	0		
8-1111(9)	5		
8-1111(11)(a)	0		
8-1111(11)(b)	0		
8-1111(14)	0		
8-1111(15)	0		
8-1111(17)	0		
Total Exemptions as of March 31, 2010	8		