

MONTH END ACTIVITY REPORT

Bureau of Securities September 2010

Securities Registrations			
Filing/Security Type	Paper	Electronic	Total
Additionalals	152	292	444
Oversales	4	0	4
Renewal Filings	464	1313	1777
New Notice Filings	199	405	604
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	3	0	3
Debt	0	0	0
Qualification	0	0	0
Other	0	0	0
Denials	0	0	0
Sales of Unregistered Securities	0	0	0
Withdrawals	0	0	0

Broker-Dealers and Broker-Dealer Agents			
Broker-Dealers			
Activity	FINRA	Non-FINRA	Total
New	4	0	4
Applications Withdrawn/Abandoned	0	0	0
Applications Denied	0	0	0
Terminations	5	0	5
Gain/Loss Broker-Dealers	-1	0	-1
Total Broker-Dealers Registered as of September 30, 2010	1407	29	1436
Broker-Dealer Agents			
Activity	FINRA	Non-FINRA	Total
New (Includes Automatic, Manual, Temp. Queues)	1953	0	1953
Denied	0	0	0
Terminations	928	0	928
Gain/Loss Agents	1025	0	1025
Total BD Agents Registered as of September 30, 2010	77681	55	77736

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Investment Advisers and Representatives			
Investment Advisers			
Activity	State	Federal	Total
New	1	8	9
Applications Withdrawn	1	0	1
Registrations Terminated/Withdrawn	1	4	5
Denied	0	0	0
Gain/Loss effective registrations	0	4	4
Total IA's Registered as of September 30, 2010	74	1065	1139
Investment Adviser Representatives			
Activity	State	Federal	Total
New	1	39	40
Denied	0	0	0
Terminated	5	32	37
Gain/Loss effective registrations	-7	7	0
Total IAR's Registered as of September 30, 2010	126	3160	3286

Exemptions			
Exemption Type	Number		
8-1108.02(2)	36		
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)	7		
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 September 30, 2010	43		