

# MONTH END ACTIVITY REPORT

## Bureau of Securities April 2011

<b>Securities Registrations</b>			
Filing/Security Type	Paper	Electronic	Total
Additional	70	337	407
Oversales	2	2	4
Renewal Filings	567	1,123	1690
New Notice Filings	161	84	245
Common Stock			0
Limited Partnerships			0
Preferred Stock			0
REIT	1		1
Debt			0
Qualification			0
Other			0
Denials			0
Sales of Unregistered Securities			0
Withdrawals	1		1

<b>Broker-Dealers and Broker-Dealer Agents</b>			
<b>Broker-Dealers</b>			
Activity	FINRA	Non-FINRA	Total
New	7	0	7
Applications Withdrawn/Abandoned	0	0	0
Applications Denied	0	0	0
Terminations	3	0	3
Gain/Loss Broker-Dealers	4	0	4
Total BD's Registered as of <b>April 30, 2011</b>	1379	29	1408
<b>Broker-Dealer Agents</b>			
Activity	FINRA	Non-FINRA	Total
New (Includes Automatic, Manual, Temp. Queues)	1794	0	1794
Denied	0	0	0
Terminations	888	0	888
Gain/Loss Agents	906	0	906
Total BD Agents Registered as of <b>April 30, 2011</b>	81753	51	81804

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Investment Advisers and Representatives			
Investment Advisers			
Activity	State	Federal	Total
New	5	8	13
Applications Withdrawn	0	0	0
Registrations Terminated/Withdrawn	0	1	1
Denied	0	0	0
Gain/Loss effective registrations	5	7	12
<b>Total IA's Registered as of April 30, 2011</b>	<b>71</b>	<b>1076</b>	<b>1147</b>
Investment Adviser Representatives			
Activity	State	Federal	Total
New	5	64	69
Denied	0	0	0
Terminated	0	30	30
Gain/Loss effective registrations	5	34	39
<b>Total IAR's Registered as of April 30, 2011</b>	<b>125</b>	<b>3233</b>	<b>3358</b>

Exemptions			
Exemption Type	Number		
8-1108.02(2)	29		
8-1108.02(3)	0		
8-1111(16)	1		
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		
<b>Total Exemptions as of April 30, 2011</b>	<b>35</b>		