

MONTH END ACTIVITY REPORT

Bureau of Securities May 2011

Securities Registrations			
Filing/Security Type	Paper	Electronic	Total
Additional	147	370	517
Oversales	6		6
Renewal Filings	614	1049	1663
New Notice Filings	187	171	358
Common Stock	1		1
Limited Partnerships			0
Preferred Stock			0
REIT	2		2
Debt			0
Qualification			0
Other	1		1
Denials			0
Sales of Unregistered Securities	2		2
Withdrawals	3		3

Broker-Dealers and Broker-Dealer Agents			
Broker-Dealers			
Activity	FINRA	Non-FINRA	Total
New	9	0	9
Applications Withdrawn/Abandoned	0	0	0
Applications Denied	0	0	0
Terminations	6	0	6
Gain/Loss Broker-Dealers	3	0	3
Total BD's Registered as of May 31, 2011	1382	29	1411
Broker-Dealer Agents			
Activity	FINRA	Non-FINRA	Total
New (Includes Automatic, Manual, Temp. Queues)	2591	0	2591
Denied	0	0	0
Terminations	1079	0	1079
Gain/Loss Agents	1512	0	1512
Total BD Agents Registered as of May 31, 2011	83265	51	83316

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Investment Advisers and Representatives			
Investment Advisers			
Activity	State	Federal	Total
New	3	7	10
Applications Withdrawn	0	0	0
Registrations Terminated/Withdrawn	0	1	1
Denied	0	0	0
Gain/Loss effective registrations	3	6	9
Total IA's Registered as of May 31, 2011	74	1082	1156
Investment Adviser Representatives			
Activity	State	Federal	Total
New	6	44	50
Denied	0	0	0
Terminated	1	24	25
Gain/Loss effective registrations	5	20	25
Total IAR's Registered as of May 31, 2011	130	3253	3383

Exemptions			
Exemption Type	Number		
8-1108.02(2)	24		
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)	6		
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 May 31, 2011	30		