

# MONTH END ACTIVITY REPORT

## Bureau of Securities June 2011

<b>Securities Registrations</b>			
Filing/Security Type	Paper	Electronic	Total
Additional	92	329	421
Oversales	1		1
Renewal Filings	483	1138	1621
New Notice Filings	174	69	243
Common Stock	1		1
Limited Partnerships			0
Preferred Stock			0
REIT			0
Debt			0
Qualification	1		1
Other			0
Denials			0
Sales of Unregistered Securities		1	1
Withdrawals	1		1

<b>Broker-Dealers and Broker-Dealer Agents</b>			
<b>Broker-Dealers</b>			
Activity	FINRA	Non-FINRA	Total
New	10	0	10
Applications Withdrawn/Abandoned	0	0	0
Applications Denied	0	0	0
Terminations	5	0	5
Gain/Loss Broker-Dealers	5	0	5
<b>Total BD's Registered as of June 30, 2011</b>	<b>1387</b>	<b>29</b>	<b>1416</b>
<b>Broker-Dealer Agents</b>			
Activity	FINRA	Non-FINRA	Total
New (Includes Automatic, Manual, Temp. Queues)	2030	0	2030
Denied	0	0	0
Terminations	1167	0	1167
Gain/Loss Agents	863	0	863
<b>Total BD Agents Registered as of June 30, 2011</b>	<b>84128</b>	<b>51</b>	<b>84179</b>

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Investment Advisers and Representatives			
Investment Advisers			
Activity	State	Federal	Total
New	1	9	10
Applications Withdrawn	0	0	0
Registrations Terminated/Withdrawn	0	5	5
Denied	0	0	0
Gain/Loss effective registrations	1	4	5
<b>Total IA's Registered as of June 30, 2011</b>	<b>75</b>	<b>1086</b>	<b>1161</b>
Investment Adviser Representatives			
Activity	State	Federal	Total
New	1	80	81
Denied	0	0	0
Terminated	5	40	45
Gain/Loss effective registrations	-4	40	36
<b>Total IAR's Registered as of June 30, 2011</b>	<b>126</b>	<b>3293</b>	<b>3419</b>

Exemptions			
Exemption Type	Number		
8-1108.02(2)	34		
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		
<b>Total Exemptions as of June 30, 2011</b>	<b>41</b>		