

Securities Registrations			
Filing/Security Type	Paper	Electronic	Total
Additional	73	284	357
Oversales	143	1	144
Renewal Filings	472	1,586	2058
New Notice Filings	178	201	379
Common Stock			0
Limited Partnerships			0
Preferred Stock			0
REIT	2		2
Debt	1		1
Qualification			0
Other			0
Denials			0
Sales of Unregistered Securities			0
Withdrawals	1		1

Broker-Dealers and Broker-Dealer Agents			
Broker-Dealers			
Activity	FINRA	Non-FINRA	Total
New	3	0	3
Applications Withdrawn/Abandoned	0	0	0
Applications Denied	0	0	0
Terminations	9	2	11
Gain/Loss Broker-Dealers	7	-2	5 **
Total Broker-Dealers Registered as of September 30, 2011	1403	27	1430
Broker-Dealer Agents			
Activity	FINRA	Non-FINRA	Total
New (Includes Automatic, Manual, Temp. Queues)	2290	0	2290
Denied	0	0	0
Terminations	1251	0	1251
Gain/Loss Agents	1039	1	1040 ++
Total BD Agents Registered as of September 30, 2011	86723	53	86776

** FINRA gain/loss figure adjusted by 13 to include TERMREQUEST and WDRQSTD which was omitted from August 2011 figures

++ Non-FINRA one time correction of 1 from record not counted in August 2011

Investment Advisers and Representatives

Investment Advisers

Activity	State	Federal	Total
New	1	6	7
Applications Withdrawn	0	0	0
Registrations Terminated/Withdrawn	2	2	4
Denied	0	0	0
Gain/Loss effective registrations	6	4	10**
Total IA's Registered as of September 30, 2011	79	1103	1182

Investment Adviser Representatives

Activity	State	Federal	Total
New	0	68	68
Denied	0	0	0
Terminated	2	73	75
Gain/Loss effective registrations	-2	-5	-7
Total IAR's Registered as of September 30, 2011	122	3352	3474

** FINRA gain/loss figure adjusted by 7 to include TERMREQUEST and WDRQSTD which was omitted from August 2011 figures

Exemptions

Exemption Type	Number		
8-1108.02(2)	33		
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)	15		
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, 2011	48		