

MONTH END ACTIVITY REPORT
Bureau of Securities
November 2011

Securities Registrations			
Filing/Security Type	Paper	Electronic	Total
Additionalals	64	275	339
Oversales	2	1	3
Renewal Filings	397	924	1321
New Notice Filings	164	104	268
Common Stock	1		1
Limited Partnerships			0
Preferred Stock			0
REIT	4		4
Debt			0
Qualification	1		1
Other			0
Denials			0
Sales of Unregistered Securities		1	1
Withdrawals			0

Broker-Dealers and Broker-Dealer Agents			
Broker-Dealers			
Activity	FINRA	Non-FINRA	Total
New	2	1	3
Applications Withdrawn/Abandoned	0	0	0
Applications Denied	0	0	0
Terminations	86	2	88
Gain/Loss Broker-Dealers	-84	-1	-85
Total Broker-Dealers Registered as of October 31, 2011	1314	29	1343
Broker-Dealer Agents			
Activity	FINRA	Non-FINRA	Total
New (Includes Automatic, Manual, Temp. Queues)	1531	0	1531
Denied	0	0	0
Terminations	1203	0	1203
Gain/Loss Agents	328	0	328
Total BD Agents Registered as of October 31, 2011	88097	54	88151

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Investment Advisers and Representatives

Investment Advisers

Activity	State	Federal	Total
New	0	5	5
Applications Withdrawn	0	0	0
Registrations Terminated/Withdrawn	2	5	7
Denied	0	0	0
Gain/Loss effective registrations	-2	0	-2
Total IA's Registered as of October 31, 2011	76	1110	1186

Investment Adviser Representatives

Activity	State	Federal	Total
New	0	42	42
Denied	0	0	0
Terminated	3	41	44
Gain/Loss effective registrations	-3	1	-2
Total IAR's Registered as of October 31, 2011	120	3379	3499

Exemptions

Exemption Type	Number		
8-1108.02(2)	14		
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)	5		
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 October 31, 2011	19		