

MONTH END ACTIVITY REPORT
Bureau of Securities
February 2012

| Securities Registrations | | | |
|----------------------------------|--------------|-------------------|--------------|
| Filing/Security Type | Paper | Electronic | Total |
| Additionalals | 62 | 307 | 369 |
| Oversales | 1 | | 1 |
| Renewal Filings | 419 | 1224 | 1643 |
| New Notice Filings | 162 | 127 | 289 |
| Common Stock | 1 | | 1 |
| Limited Partnerships | | | 0 |
| Preferred Stock | | | 0 |
| REIT | | | 0 |
| Debt | | | 0 |
| Qualification | | | 0 |
| 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 | 13 | 0 | 13 |
| Applications Withdrawn/Abandoned | 0 | 0 | 0 |
| Applications Denied | 0 | 0 | 0 |
| Terminations | 7 | 0 | 7 |
| Gain/Loss Broker-Dealers | 6 | 0 | 6 |
| Total Broker-Dealers Registered as of February 29, 2012 | 1282 | 29 | 1311 |
| Broker-Dealer Agents | | | |
| Activity | FINRA | Non-FINRA | Total |
| New (Includes Automatic, Manual, Temp. Queues) | 1549 | 0 | 1549 |
| Denied | 0 | 0 | 0 |
| Terminations | 937 | 0 | 937 |
| Gain/Loss Agents | 612 | 0 | 612 |
| Total BD Agents Registered as of February 29, 2012 | 85120 | 55 | 85175 |

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| Investment Advisers and Representatives | | | |
|--|--------------|----------------|--------------|
| Investment Advisers | | | |
| Activity | State | Federal | Total |
| New | 4 | 10 | 14 |
| Applications Withdrawn | 0 | 0 | 0 |
| Registrations Terminated/Withdrawn | 1 | 2 | 3 |
| Denied | 0 | 0 | 0 |
| Gain/Loss effective registrations | 3 | 8 | 11 |
| Total IA's Registered as of February 29, 2012 | 78 | 1080 | 1158 |
| Investment Adviser Representatives | | | |
| Activity | State | Federal | Total |
| New | 2 | 52 | 54 |
| Denied | 0 | 0 | 0 |
| Terminated | 0 | 26 | 26 |
| Gain/Loss effective registrations | 0 | 26 | 26 |
| Total IAR's Registered as of February 29, 2012 | 130 | 3208 | 3338 |

| Exemptions | | | |
|--|---------------|--|--|
| Exemption Type | Number | | |
| 8-1108.02(2) | 25 | | |
| 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) | 1 | | |
| 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 February 29, 2012 | 26 | | |