

**MONTH END ACTIVITY REPORT**  
**Bureau of Securities**  
**March 2012**

<b>Securities Registrations</b>			
<b>Filing/Security Type</b>	<b>Paper</b>	<b>Electronic</b>	<b>Total</b>
Additionalals	81	346	427
Oversales	3	4	7
Renewal Filings	600	1319	1919
New Notice Filings	201	48	249
Common Stock	1		1
Limited Partnerships			0
Preferred Stock			0
REIT	1		1
Debt			0
Qualification			0
Other	1		1
Denials			0
Sales of Unregistered Securities			0
Withdrawals	7		7

<b>Broker-Dealers and Broker-Dealer Agents</b>			
<b>Broker-Dealers</b>			
<b>Activity</b>	<b>FINRA</b>	<b>Non-FINRA</b>	<b>Total</b>
New	9	0	9
Applications Withdrawn/Abandoned	0	0	0
Applications Denied	0	0	0
Terminations	5	0	5
Gain/Loss Broker-Dealers	4	0	4
Total Broker-Dealers Registered as of March 31, 2012	1286	29	1315
<b>Broker-Dealer Agents</b>			
<b>Activity</b>	<b>FINRA</b>	<b>Non-FINRA</b>	<b>Total</b>
New (Includes Automatic, Manual, Temp. Queues)	1485	0	1485
Denied	0	0	0
Terminations	1090	32	1122
Gain/Loss Agents	395	-32	363
Total BD Agents Registered as of March 31, 2012	85515	23	85538
Based on discussion on 4/3/12 removed dups Non-FINRA BDs. LF, JH,CV			

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<b>Investment Advisers and Representatives</b>			
<b>Investment Advisers</b>			
<b>Activity</b>	<b>State</b>	<b>Federal</b>	<b>Total</b>
New	5	43	48
Applications Withdrawn	0	0	0

Registrations Terminated/Withdrawn	6	8	14
Denied	0	0	0
Gain/Loss effective registrations	-1	35	34
Total IA's Registered as of March 31, 2012	77	1115	1192

### Investment Adviser Representatives

Activity	State	Federal	Total
New	14	52	66
Denied	0	0	0
Terminated	2	42	44
Gain/Loss effective registrations	12	10	22
Total IAR's Registered as of March 31, 2012	142	3218	3360

### Exemptions

Exemption Type	Number		
8-1108.02(2)	37		
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)	1		
8-1111(14)	0		
8-1111(15)	1		
8-1111(17)	0		
Total Exemptions as of March 31, 2012	44		