

MONTH END ACTIVITY REPORT
Bureau of Securities
August 2012

Securities Registrations			
Filing/Security Type	Paper	Electronic	Total
Additionalals	40	281	321
Oversales		29	29
Renewal Filings	474	1526	2000
New Notice Filings	174	113	287
Common Stock			0
Limited Partnerships			0
Preferred Stock			0
REIT			0
Debt			0
Qualification			0
Other			0
Denials			0
Sales of Unregistered Securities	1		1
Withdrawals	2		2

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Applications Withdrawn/Abandoned	0	0	0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	3	2	5
Gain/Loss Broker-Dealers	0	-2	-2
Total Broker-Dealers Registered as of May 31, 2012	1284	28	1312
Broker-Dealer Agents			
Activity	FINRA	Non-FINRA	Total
New (Includes Automatic, Manual, Temp. Queues)	1570	2	1572
Denied	0	0	0
Terminations	1614	2	1616
Gain/Loss Agents	-44	0	-44
Total BD Agents Registered as of May 31, 2012	86962	23	86985

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Investment Advisers and Representatives			
Investment Advisers			
Activity	State	Federal	Total
New	3	10	13
Applications Withdrawn	1	0	1
Registrations Terminated/Withdrawn	1	7	8
Denied	0	0	0
Gain/Loss effective registrations	2	3	5
Total IA's Registered as of May 31, 2012	98	1094	1192
Investment Adviser Representatives			
Activity	State	Federal	Total
New	2	31	33
Denied	0	0	0
Terminated	2	66	68
Gain/Loss effective registrations	0	-35	-35
Total IAR's Registered as of May 31, 2012	180	3254	3434

Exemptions			
Exemption Type	Number		
8-1108.02(2)	31		
8-1108.02(3)			
8-1111(16)			
8-1110(5)(b)			
8-1111(20)			
8-1110(8)			
8-1111(9)	11		
8-1111(11)(a)			
8-1111(11)(b)			
8-1111(14)			
8-1111(15)			
8-1111(17)			
Total Exemptions as of May 31, 2012	42		