

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

<b>Securities Registrations</b>			
<b>Filing/Security Type</b>	<b>Paper</b>	<b>Electronic</b>	<b>Total</b>
Additionalals	43	232	275
Oversales	1	30	31
Renewal Filings	360	1580	1940
New Notice Filings	159	171	330
Common Stock			0
Limited Partnerships			0
Preferred Stock			0
REIT	3		3
Debt			0
Qualification			0
Other			0
Denials			0
Sales of Unregistered Securities			0
Withdrawals	2		2

<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	10	0	10
Applications Withdrawn/Abandoned	0	0	0
Applications Denied	0	0	0
Terminations	7	0	7
Gain/Loss Broker-Dealers	3	0	3
Total Broker-Dealers Registered as of May 31, 2012	1287	28	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)	1582	0	1582
Denied	0	0	0
Terminations	1303	0	1303
Gain/Loss Agents	279	0	279
Total BD Agents Registered as of May 31, 2012	87241	23	87264

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

<b>Investment Advisers and Representatives</b>			
<b>Investment Advisers</b>			
<b>Activity</b>	<b>State</b>	<b>Federal</b>	<b>Total</b>
New	9	7	16
Applications Withdrawn	0	0	0
Registrations Terminated/Withdrawn	9	4	13
Denied	0	0	0
Gain/Loss effective registrations	0	3	3
Total IA's Registered as of May 31, 2012	98	1097	1195
<b>Investment Adviser Representatives</b>			
<b>Activity</b>	<b>State</b>	<b>Federal</b>	<b>Total</b>
New	0	39	39
Denied	0	0	0
Terminated	1	39	40
Gain/Loss effective registrations	-1	0	-1
Total IAR's Registered as of May 31, 2012	179	3254	3433

<b>Exemptions</b>			
<b>Exemption Type</b>	<b>Number</b>		
8-1108.02(2)	35		
8-1108.02(3)			
8-1111(16)			
8-1110(5)(b)			
8-1111(20)			
8-1110(8)			
8-1111(9)	6		
8-1111(11)(a)			
8-1111(11)(b)			
8-1111(14)			
8-1111(15)	1		
8-1111(17)			
Total Exemptions as of May 31, 2012	42		