

MONTH END ACTIVITY REPORT
Bureau of Securities
December 2012

Securities Registrations			
Filing/Security Type	Paper	Electronic	Total
Additional	52	253	305
Oversales	4	38	42
Renewal Filings	442	1392	1834
New Notice Filings	158	132	290
Common Stock			0
Limited Partnerships	1		1
Preferred Stock			0
REIT			0
Debt			0
Qualification			0
Other	4		4
Denials			0
Sales of Unregistered Securities			0
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Applications Withdrawn/Abandoned	0	0	0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	40	0	40
Gain/Loss Broker-Dealers	-37	0	-37
Total Broker-Dealers Registered as of December 31, 2012	1244	29	1273
Broker-Dealer Agents			
Activity	FINRA	Non-FINRA	Total
New (Includes Automatic, Manual, Temp. Queues)	781	0	781
Denied	0	0	0
Terminations	5437	0	5437
Gain/Loss Agents	-4656	0	-4656
Total BD Agents Registered as of December 31, 2012	83053	22	83075

MONTH END ACTIVITY REPORT
Bureau of Securities
December 2012

Investment Advisers and Representatives			
Investment Advisers			
Activity	State	Federal	Total
New	1	10	11
Applications Withdrawn	0	0	0
Registrations Terminated/Withdrawn	3	49	52
Denied	0	0	0
Gain/Loss effective registrations	-2	-39	-41
Total IA's Registered as of December 31, 2012	95	1066	1161
Investment Adviser Representatives			
Activity	State	Federal	Total
New	3	45	48
Denied	0	0	0
Terminated	6	130	136
Gain/Loss effective registrations	-3	-85	-88
Total IAR's Registered as of December 31, 2012	179	3210	3389

Exemptions			
Exemption Type	Number		
8-1108.02(2)	32		
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)			
8-1111(17)			
Total Exemptions as December 31, 2012	38		