

**MONTH END ACTIVITY REPORT**  
**Bureau of Securities**  
**January 2014**

<b>Securities Registrations</b>			
<b>Filing/Security Type</b>	<b>Paper</b>	<b>Electronic</b>	<b>Total</b>
Additionalals	53	353	406
Oversales	9	84	93
Renewal Filings	382	1134	1516
New Notice Filings	268	82	350
Common Stock			0
Limited Partnerships			0
Preferred Stock			0
REIT	2		2
Debt			0
Qualification			0
Other			0
Denials			0
Sales of Unregistered Securities			0
Withdrawals			0

<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	15	0	15
<b>Applications</b> Withdrawn/Abandoned *	3	0	3
<b>Applications</b> Denied *	0	0	0
Terminations	31	0	31
Gain (+) /Loss (-) Broker-Dealers between Dec '13 & Jan '14	-16	0	-16
<b>Total Broker-Dealers Registered as of February 28, 2014</b>	<b>1,312</b>	<b>28</b>	<b>1,340</b>
<b>Broker-Dealer Agents</b>			
<b>Activity</b>	<b>FINRA</b>	<b>Non-FINRA</b>	<b>Total</b>
New (Includes Automatic, Manual, Temp. Queues)	3,850	0	3,850
Denied	0	0	0
Terminations	913	0	913
Gain (+) /Loss (-) Agents between Dec '13 & Jan '14	2,937	0	2,937
<b>Total BD Agents Registered as of February 28, 2014</b>	<b>90,126</b>	<b>27</b>	<b>90,153</b>

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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	1	13	14
Applications Withdrawn	0	0	0
Registrations Terminated/Withdrawn	2	1	3
Denied	0	0	0
Gain (+) /Loss (-) IA's between Dec '13 & Jan '14	-1	12	11
<b>Total IA's Registered as of February 28, 2014</b>	<b>96</b>	<b>1,126</b>	<b>1,222</b>
<b>Investment Adviser Representatives</b>			
<b>Activity</b>	<b>State</b>	<b>Federal</b>	<b>Total</b>
New	1	154	155
Denied	0	0	0
Terminated	3	37	40
Gain (+) /Loss (-) IAR's between Dec '13 & Jan '14	-2	117	115
<b>Total IAR's Registered as of February 28, 2014</b>	<b>171</b>	<b>3,504</b>	<b>3,675</b>

<b>Exemptions</b>			
<b>Exemption Type</b>	<b>Number</b>		
8-1108.02(2)	22		
8-1108.02(3)			
8-1111(16)			
8-1110(5)(b)			
8-1111(20)			
8-1110(8)			
8-1111(9)	14		
8-1111(11)(a)			
8-1111(11)(b)			
8-1111(14)			
8-1111(15)	1		
8-1111(17)			
<b>Total Exemptions as of February 28, 2014</b>	<b>37</b>		