

MONTH-END ACTIVITY REPORT

Bureau of Securities

December 2006

SECURITIES REGISTRATIONS

Filing/Security Type	Paper	Electronic	Total
Additional	96	222	318
Oversales	1	0	1
Renewal Filings	572	1,223	1,795
New Notice Filings	371	68	439
Common Stock	2	0	2
Limited Partnerships	1	0	1
Preferred Stock	0	0	0
REIT	2	0	0
Debt	0	0	0
Qualification	0	0	0
Other	0	0	0
Denials	0	0	0
Sale of Unregistered Securities	0	0	0
Withdrawals	0	0	0

BROKER-DEALERS AND BROKER-DEALER AGENTS

Broker-Dealers			
Activity	NASD	Non-NASD	Total
New	1		1
Renewals (CRD)			
Renewals (Manual)		41	
Expirations			
Terminations	35	1	36
Applications Withdrawn	0	0	0
Registrations Withdrawn			
Applications Denied			
Total Broker-Dealers as of December 31, 2006	1385	41	1428
Total Broker-Dealers as of November 30, 2006	1419	44	1463
Broker-Dealer Agents			
Activity	NASD	Non-NASD	Total
New (Includes Automatic, Manual)	898	0	898
Terminations	4,851	8	4,859
Denied	0	0	0
Total Agents as of December 31, 2006	62,511	13	62,524
Total Agents as of November 30, 2006	66,424	21	66,445

INVESTMENT ADVISERS AND REPRESENTATIVES

Investment Advisers			
Activity	State	Federal	Total
New	3	3	6
Renewals			
Expirations			
Applications Withdrawn			
Registrations Terminated/Withdrawn		(45)	(45)
Denied			
Total effective registrations as of December 31, 2006	76	791	867
Investment Adviser Representatives			
Activity	State	Federal	Total
New	4	70	74
Terminated		(10)	(10)
Renewals (IARD)			
Denied			
Expirations			
Total effective registrations as of December 31, 2006	204	2546	2750

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)	9
8-1111(11)(a)	
8-1111(11)(b)	
8-1111(14)	
8-1111(15)	
8-1111(17)	
Total Exemptions as of December 31, 2006	41