

MONTH END ACTIVITY REPORT

Bureau of Securities December 2007

Securities Registrations			
Filing/Security Type	Paper	Electronic	Total
Additional	175	338	513
Oversales	2		2
Renewal Filings	673	1,312	1985
New Notice Filings	219	142	361
Common Stock			0
Limited Partnerships			0
Preferred Stock			0
REIT			0
Debt			0
Qualification			0
Other			0
Denials			0
Sales of Unregistered Securities			0
Withdrawals			0

Broker-Dealers and Broker-Dealer Agents			
Broker-Dealers			
Activity	NASD	Non-NASD	Total
New	5		5
Renewals (CRD)			0
Renewals (Manual)			0
Applications Withdrawn/Abandoned	1		1
Applications Denied			0
Terminations	7		7
Gain/Loss Broker-Dealers	2		2
Total BD's Registered as of December 31, 2007	1447	45	1492
Broker-Dealer Agents			
Activity	NASD	Non-NASD	Total
New (Includes Automatic, Manual, Temp. Queues)	81		81
Denied	0		0
Terminations	5445		5445
Gain/Loss Agents	-4466		-4466
Total BD Agents Registered as of December 31, 2007	67908		67908

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Investment Advisers and Representatives			
Investment Advisers			
Activity	State	Federal	Total
New			
Renewals			
Expirations			
Applications Withdrawn			
Registrations Terminated/Withdrawn			
Denied			
Gain/Loss effective registrations	-5	-19	-24
Total IA's Registered as of December 31, 2007	84	905	989
Investment Adviser Representatives			
Activity	State	Federal	Total
New			64
Denied			0
Terminated			99
Renewals (IARD)			0
Expirations			0
Gain/Loss effective registrations			-15
Total IAR's Registered as of December 31, 2007			2288

Exemptions			
Exemption Type	Number		
8-1108.02(2)	26		
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)			
8-1111(17)			
Total Exemptions as of December 30, 2007	40		