

MONTH END ACTIVITY REPORT

Bureau of Securities February 2008

Securities Registrations			
Filing/Security Type	Paper	Electronic	Total
Additional	191	368	559
Oversales	2	2	4
Renewal Filings	678	1,173	1851
New Notice Filings	165	82	247
Common Stock	1	0	1
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	1	0	1
Debt	0	0	0
Qualification	0	0	0
Other	0	0	0
Denials	0	0	0
Sales of Unregistered Securities	0	0	0
Withdrawals	0	0	0

Broker-Dealers and Broker-Dealer Agents			
Broker-Dealers			
Activity	NASD	Non-NASD	Total
New	16	0	16
Renewals (CRD)	0	0	0
Renewals (Manual)	0	0	0
Applications Withdrawn/Abandoned	0	0	0
Applications Denied	0	0	0
Terminations	5	0	5
Gain/Loss Broker-Dealers	-1	0	-1
Total BD's Registered as of February 29, 2008	1442	43	1485
Broker-Dealer Agents			
Activity	NASD	Non-NASD	Total
New (Includes Automatic, Manual, Temp. Queues)	183	0	183
Denied	0	0	0
Terminations	1246	0	1246
Gain/Loss Agents	1049	0	1049
Total BD Agents Registered as of February 29, 2008	72093	0	72093

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Investment Advisers and Representatives			
Investment Advisers			
Activity	State	Federal	Total
New	0	0	0
Renewals	0	0	0
Expirations	0	0	0
Applications Withdrawn	0	0	0
Registrations Terminated/Withdrawn	0	0	0
Denied	0	0	0
Gain/Loss effective registrations	2	13	15
Total IA's Registered as of February 29, 2008	85	928	1013
Investment Adviser Representatives			
Activity	State	Federal	Total
New	0	0	82
Denied	0	0	0
Terminated	0	0	44
Renewals (IARD)	0	0	0
Expirations	0	0	0
Gain/Loss effective registrations	0	0	56
Total IAR's Registered as of February 29, 2008	0	0	2418

Exemptions			
Exemption Type	Number		
8-1108.02(2)	41		
8-1108.02(3)	0		
8-1111(16)	0		
8-1110(5)(b)	0		
8-1111(20)	0		
8-1110(8)	0		
8-1111(9)	8		
8-1111(11)(a)	0		
8-1111(11)(b)	0		
8-1111(14)	0		
8-1111(15)	0		
8-1111(17)	0		
Total Exemptions as of February 29, 2008	49		