

# MONTH END ACTIVITY REPORT

## Bureau of Securities January 2008

<b>Securities Registrations</b>			
Filing/Security Type	Paper	Electronic	Total
Additionalals	187	388	575
Oversales	4	0	4
Renewal Filings	506	893	1399
New Notice Filings	122	49	171
Common Stock	0	0	0
Limited Partnerships	3	0	3
Preferred Stock	0	0	0
REIT	2	0	2
Debt	0	0	0
Qualification	0	0	0
Other	1	0	1
Denials	0	0	0
Sales of Unregistered Securities	0	0	0
Withdrawals	5	0	5

<b>Broker-Dealers and Broker-Dealer Agents</b>			
<b>Broker-Dealers</b>			
Activity	NASD	Non-NASD	Total
New	16	0	16
Renewals (CRD)	0	0	0
Renewals (Manual)	0	0	0
Applications Withdrawn/Abandoned	1	1	2
Applications Denied	0	0	0
Terminations	4	1	5
Gain/Loss Broker-Dealers	-4	-2	-6
<b>Total BD's Registered as of January 31, 2008</b>	<b>1443</b>	<b>43</b>	<b>1486</b>
<b>Broker-Dealer Agents</b>			
Activity	NASD	Non-NASD	Total
New (Includes Automatic, Manual, Temp. Queues)	360	0	360
Denied	0	0	0
Terminations	3753	0	3753
Gain/Loss Agents	3136	0	3136
<b>Total BD Agents Registered as of January 31, 2008</b>	<b>71044</b>	<b>0</b>	<b>71044</b>

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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Applications Withdrawn	0	0	0
Registrations Terminated/Withdrawn	0	0	0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	-1	10	9
<b>Total IA's Registered as of January 31, 2008</b>	<b>83</b>	<b>915</b>	<b>998</b>
Investment Adviser Representatives			
Activity	State	Federal	Total
New	0	0	103
Denied	0	0	0
Terminated	0	0	143
Renewals (IARD)	0	0	0
Expirations	0	0	0
Gain/Loss effective registrations	0	0	74
<b>Total IAR's Registered as of January 31, 2008</b>	<b>0</b>	<b>0</b>	<b>2362</b>

Exemptions			
Exemption Type	Number		
8-1108.02(2)	57		
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)	21		
8-1111(11)(a)	0		
8-1111(11)(b)	0		
8-1111(14)	0		
8-1111(15)	0		
8-1111(17)	0		
<b>Total Exemptions as of January 31, 2008</b>	<b>78</b>		