

# MONTH END ACTIVITY REPORT

## Bureau of Securities March 2008

<b>Securities Registrations</b>			
Filing/Security Type	Paper	Electronic	Total
Additionalals	205	391	596
Oversales	2	0	2
Renewal Filings	529	1,052	1581
New Notice Filings	170	103	273
Common Stock	0	0	0
Limited Partnerships	1	0	1
Preferred Stock	0	0	0
REIT	0	0	0
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

<b>Broker-Dealers and Broker-Dealer Agents</b>			
<b>Broker-Dealers</b>			
Activity	NASD	Non-NASD	Total
New	14	0	14
Renewals (CRD)	0	0	0
Renewals (Manual)	0	0	0
Applications Withdrawn/Abandoned	1	0	1
Applications Denied	0	0	0
Terminations	8	0	8
Gain/Loss Broker-Dealers	8	-2	6
<b>Total BD's Registered as of March 31, 2008</b>	<b>1450</b>	<b>41</b>	<b>1491</b>
<b>Broker-Dealer Agents</b>			
Activity	NASD	Non-NASD	Total
New (Includes Automatic, Manual, Temp. Queues)	186	0	186
Denied	0	0	0
Terminations	1253	0	1253
Gain/Loss Agents	571	0	571
<b>Total BD Agents Registered as of March 31, 2008</b>	<b>72664</b>	<b>0</b>	<b>72664</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Applications Withdrawn	0	0	0
Registrations Terminated/Withdrawn	0	0	0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	-3	33	30
<b>Total IA's Registered as of March 31, 2008</b>	<b>82</b>	<b>961</b>	<b>1043</b>
Investment Adviser Representatives			
Activity	State	Federal	Total
New	0	0	60
Denied	0	0	0
Terminated	0	0	30
Renewals (IARD)	0	0	0
Expirations	0	0	0
Gain/Loss effective registrations	0	0	28
<b>Total IAR's Registered as of March 31, 2008</b>	<b>0</b>	<b>0</b>	<b>2446</b>

Exemptions			
Exemption Type	Number		
8-1108.02(2)	40		
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)	13		
8-1111(11)(a)	0		
8-1111(11)(b)	0		
8-1111(14)	0		
8-1111(15)	2		
8-1111(17)	0		
<b>Total Exemptions as of March 31, 2008</b>	<b>55</b>		