

# MONTH END ACTIVITY REPORT

## Bureau of Securities November 2008

<b>Securities Registrations</b>			
Filing/Security Type	Paper	Electronic	Total
Additional	125	242	367
Oversales	1	1	2
Renewal Filings	511	823	1334
New Notice Filings	99	100	199
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	2	0	2
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	11	1	12
Applications Withdrawn/Abandoned	0	0	0
Applications Denied	0	0	0
Terminations	17	3	20
Gain/Loss Broker-Dealers	-2	-4	-6
<b>Total BD's Registered as of November 30, 2008</b>	<b>1446</b>	<b>36</b>	<b>1482</b>
<b>Broker-Dealer Agents</b>			
Activity	NASD	Non-NASD	Total
New (Includes Automatic, Manual, Temp. Queues)	1232	1	1233
Denied	0	0	0
Terminations	1302	11	1313
Gain/Loss Agents	-128	-12	-140
<b>Total BD Agents Registered as of November 30, 2008</b>	<b>74464</b>	<b>69</b>	<b>74533</b>

# MONTH END ACTIVITY REPORT

## Bureau of Securities November 2008

Investment Advisers and Representatives			
Investment Advisers			
Activity	State	Federal	Total
New	0	4	4
Renewals	0	0	0
Expirations	0	0	0
Applications Withdrawn	0	0	0
Registrations Terminated/Withdrawn	2	0	2
Denied	0	0	0
Gain/Loss effective registrations	-2	4	2
<b>Total IA's Registered as of November 30, 2008</b>	<b>72</b>	<b>1002</b>	<b>1074</b>
Investment Adviser Representatives			
Activity	State	Federal	Total
New	1	42	43
Denied	0	0	0
Terminated	2	74	76
Renewals (IARD)	0	0	0
Expirations	0	0	0
Gain/Loss effective registrations	-1	-21	-22
<b>Total IAR's Registered as of November 30, 2008</b>	<b>177</b>	<b>2969</b>	<b>3146</b>

Exemptions		
Exemption Type	Number	
8-1108.02(2)	28	
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)	11	
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 November 30, 2008</b>	<b>39</b>	