

**OFFICE OF FINANCIAL REGULATION
SECURITIES FIRMS, BRANCHES AND AGENTS STATISTICS**

APPLICATIONS RECEIVED										
CODE	LICENSE TYPE	FISCAL YEAR								
		00-01	01-02	02-03	03-04	04-05	05-06	06-07	07-08	08-09
BD	Broker/Dealer	413	342	274	282	263	232	225	226	205
BDA	Broker/Dealer Agents (non-NASD/CRD only)	159	646	525	580	426	500	72	25	0
BDB	Broker/Dealer Branch	1,003	562	1,875	1,753	2,014	3,223	2,259	1,871	1,892
BI	Broker/Dealer and Inv Adviser	17	7	0	0	0	0	0	0	0
BIA	BD/IA Agents (non-NASD/CRD only)	62	66	0	0	0	0	0	0	0
BIB	Broker/Dealer and Inv Adviser Branch	1,627	1,873	6	0	0	0	0	0	0
IA	Investment Adviser	405	449	532	505	567	688	650	651	587
IAA	Investment Adviser Agents	834	599	156	130	57	50	6	0	0
IAB	Investment Adviser Branch	18	13	18	14	6	70	145	16	20
ID	Issuer/Dealer	20	23	13	11	7	10	14	8	10
IDA	Issuer/Dealer Agents	65	56	42	27	30	33	48	25	23
IDB	Issuer/Dealer Branch	6	1	0	0	0	0	0	0	0
	TOTAL	4,629	4,637	3,441	3,302	3,370	4,806	3,419	2,822	2,737
APPLICATIONS APPROVED										
CODE	LICENSE TYPE	FISCAL YEAR								
		00-01	01-02	02-03	03-04	04-05	05-06	06-07	07-08	08-09
BD	Broker/Dealer	351	311	262	254	233	213	199	187	107
BDA	Broker/Dealer Agents (non-NASD/CRD only)	54	720	478	569	402	491	106	30	0
BDB	Broker/Dealer Branch	981	521	1,637	1,629	1,795	2,544	2,685	1,993	1880
BI	Broker/Dealer and Inv Adviser	19	11	0	0	0	0	0	0	0
BIA	BD/IA Agents (non-NASD/CRD only)	51	32	0	0	0	0	0	0	0
BIB	Broker/Dealer and Inv Adviser Branch	2,035	1,991	6	0	0	0	0	0	0
IA	Investment Adviser	381	409	486	465	508	604	581	611	374
IAA	Investment Adviser Agents	750	583	131	98	38	24	7	0	0
IAB	Investment Adviser Branch	17	9	11	10	5	31	149	9	11
ID	Issuer/Dealer	16	20	14	11	2	11	13	5	8
IDA	Issuer/Dealer Agents	61	51	38	25	21	33	40	25	21
IDB	Issuer/Dealer Branch	7	1	0	0	0	0	0	0	0
	TOTAL	4,723	4,659	3,063	3,061	3,004	3,951	3,780	2,860	2,401
ACTIVE LICENSEES										
CODE	LICENSE TYPE	FISCAL YEAR								
		00-01	01-02	02-03	03-04	04-05	05-06	06-07	07-08	08-09
BD	Broker/Dealer	2,765	2,746	3,200	3,219	3,239	3,235	3,239	3,183	3,080
BDA	Broker/Dealer Agents (non-NASD/CRD only)	71	763	1,253	1,686	1,917	2,219	102	71	11
BDB	Broker/Dealer Branch	2,322	2,128	8,226	8,531	9,024	10,299	11,089	10,626	11,240
BI	Broker/Dealer and Inv Adviser	492	491	0	0	0	0	0	0	0
BIA	BD/IA Agents (non-NASD/CRD only)	160	167	0	0	0	0	0	0	0
BIB	Broker/Dealer and Inv Adviser Branch	5,208	5,905	0	0	0	0	0	0	0
IA	Investment Adviser	2,270	2,452	3,049	3,265	3,450	3,743	3,972	4,264	4,381
IAA	Investment Adviser Agents	3,326	2,210	1,377	780	576	474	55	0	0
IAB	Investment Adviser Branch	74	66	56	58	40	44	118	107	44
ID	Issuer/Dealer	152	148	142	131	119	110	105	98	88
IDA	Issuer/Dealer Agents	241	235	222	208	195	190	189	183	173
IDB	Issuer/Dealer Branch	7	7	7	2	1	1	1	1	1
	TOTAL	17,088	17,318	17,532	17,880	18,561	20,315	18,870	18,533	19,018
8/12/2009		SECFirmAgent								

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RENEWALS AND REACTIVATIONS										
CODE	LICENSE TYPE			FISCAL YEAR						
		00-01	01-02	02-03	03-04	04-05	05-06	06-07	07-08	08-09
BD	Broker/Dealer	2,650	2,643	3,143	3,113	3,158	3,165	3,169	3,172	3,006
BDA	Broker/Dealer Agents (non-NASD/CRD only)	50	181	962	1,326	1,718	1,928	111	57	11
BDB	Broker/Dealer Branch	2,191	2,058	7,877	8,203	9,661	9,007	10,598	10,346	10,310
BI	Broker/Dealer and Inv Adviser	496	521	0	0	0	0	0	0	0
BIA	BD/IA Agents (non-NASD/CRD only)	168	166	0	0	0	0	0	0	0
BIB	Broker/Dealer and Inv Adviser Branch	4,974	5,650	0	0	0	0	0	0	0
IA	Investment Adviser	2,067	2,286	2,809	2,959	3,214	3,403	3,684	3,954	4,096
IAA	Investment Adviser Agents	3,042	3,135	1,457	963	682	517	144	0	0
IAB	Investment Adviser Branch	75	63	53	44	42	22	62	110	37
ID	Issuer/Dealer	145	140	138	130	124	104	99	102	84
IDA	Issuer/Dealer Agents	209	214	205	202	218	180	171	187	162
IDB	Issuer/Dealer Branch	8	7	7	2	1	1	1	1	1
	TOTAL	16,075	17,064	16,651	16,942	18,818	18,327	18,039	17,929	17,707
				CRD AGENTS						
				APPLICATIONS RECEIVED						
				FISCAL YEAR						
		00-01	01-02	02-03	03-04	04-05	05-06	06-07	07-08	08-09
	AG	69,499	53,522	48,053	50,192	51,331	54,606	53,953	55,521	76045
	RA		790	4,671	5,092	4,895	5,661	5,821	6,136	8699
	TOTAL		54,312	52,724	55,284	56,226	60,267	59,774	61,657	84744
				APPLICATIONS APPROVED						
				FISCAL YEAR						
		00-01	01-02	02-03	03-04	04-05	05-06	06-07	07-08	08-09
	AG	66,471	53,066	45,527	48,320	49,529	53,443	52,909	54,284	70901
	RA		696	2,986	4,613	4,669	5,404	5,371	5,454	5939
	TOTAL		53,762	48,513	52,933	54,198	58,847	58,280	59,738	76840
				ACTIVE LICENSEES						
				FISCAL YEAR						
		00-01	01-02	02-03	03-04	04-05	05-06	06-07	07-08	08-09
	AG	213,113	210,070	205,501	212,875	218,227	223,510	232,551	241,044	236319
	RA			17,241	19,267	20,584	21,939	24,113	25,912	26301
	TOTAL		210,070	222,742	232,142	238,811	245,449	256,664	266,956	262620
				RENEWED						
				FISCAL YEAR						
		00-01	01-02	02-03	03-04	04-05	05-06	06-07	07-08	08-09
	AG	202,393	202,176	198,555	199,236	205,490	210,345	218,519	228,153	228,539
	RA			15,629	17,334	18,713	20,133	21,838	24,026	24,778
	TOTAL		202,176	214,184	216,570	224,203	230,478	240,357	252,179	253,317