

10/10/2011

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

BIB	Broker/Dealer and Inv Adviser Branch	5,208	5,905	0	0	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	4587	4667
IAA	Investment Adviser Agents	3,326	2,210	1,377	780	576	474	55	0	0	0	0
IAB	Investment Adviser Branch	74	66	56	58	40	44	118	107	44	66	77
ID	Issuer/Dealer	152	148	142	131	119	110	105	98	88	87	81
IDA	Issuer/Dealer Agents	241	235	222	208	195	190	189	183	173	173	161
IDB	Issuer/Dealer Branch	7	7	7	2	1	1	1	1	1	1	1
	TOTAL	17,088	17,318	17,532	17,880	18,561	20,315	18,870	18,533	19,018	19,143	18586
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	09-10	10-11
BD	Broker/Dealer	2,650	2,643	3,143	3,113	3,158	3,165	3,169	3,172	3,006	2864	2862
BDA	Broker/Dealer Agents (non-NASD/C	50	181	962	1,326	1,718	1,928	111	57	11	6	0
BDB	Broker/Dealer Branch	2,191	2,058	7,877	8,203	9,661	9,007	10,598	10,346	10,310	10492	10028
BI	Broker/Dealer and Inv Adviser	496	521	0	0	0	0	0	0	0	0	0
BIA	BD/IA Agents (non-NASD/CRD only	168	166	0	0	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	0	0
IA	Investment Adviser	2,067	2,286	2,809	2,959	3,214	3,403	3,684	3,954	4,096	4283	4406
IAA	Investment Adviser Agents	3,042	3,135	1,457	963	682	517	144	0	0	0	0
IAB	Investment Adviser Branch	75	63	53	44	42	22	62	110	37	55	57
ID	Issuer/Dealer	145	140	138	130	124	104	99	102	84	86	79
IDA	Issuer/Dealer Agents	209	214	205	202	218	180	171	187	162	169	156
IDB	Issuer/Dealer Branch	8	7	7	2	1	1	1	1	1	1	1
	TOTAL	16,075	17,064	16,651	16,942	18,818	18,327	18,039	17,929	17,707	17956	17589
CRD AGENTS												
APPLICATIONS RECEIVED												
				FISCAL YEAR								
		00-01	01-02	02-03	03-04	04-05	05-06	06-07	07-08	08-09	09-10	10-11
	AG	69,499	53,522	48,053	50,192	51,331	54,606	53,953	55,521	76045	50964	52,486
	RA		790	4,671	5,092	4,895	5,661	5,821	6,136	8699	5679	5,806
	TOTAL		54,312	52,724	55,284	56,226	60,267	59,774	61,657	84744	56643	58,292
APPLICATIONS APPROVED												
				FISCAL YEAR								
		00-01	01-02	02-03	03-04	04-05	05-06	06-07	07-08	08-09	09-10	10-11

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	AG	66,471	53,066	45,527	48,320	49,529	53,443	52,909	54,284	70901	46144	52,327
	RA		696	2,986	4,613	4,669	5,404	5,371	5,454	5939	2316	4,734
	TOTAL		53,762	48,513	52,933	54,198	58,847	58,280	59,738	76840	48460	57,061
			ACTIVE LICENSEES									
				FISCAL YEAR								
		00-01	01-02	02-03	03-04	04-05	05-06	06-07	07-08	08-09	09-10	10-11
	AG	213,113	210,070	205,501	212,875	218,227	223,510	232,551	241,044	236319	238762	249,088
	RA			17,241	19,267	20,584	21,939	24,113	25,912	26301	26621	27,478
	TOTAL		210,070	222,742	232,142	238,811	245,449	256,664	266,956	262620	265383	276566
				RENEWED								
				FISCAL YEAR								
		00-01	01-02	02-03	03-04	04-05	05-06	06-07	07-08	08-09	09-10	10-11
	AG	202,393	202,176	198,555	199,236	205,490	210,345	218,519	228,153	228,539	225962	233,602
	RA			15,629	17,334	18,713	20,133	21,838	24,026	24,778	24750	25,661
	TOTAL		202,176	214,184	216,570	224,203	230,478	240,357	252,179	253,317	250712	259,263