

COMMISSIONER OF FINANCIAL INSTITUTIONS  
BROKERS AND DEALERS REGISTERED IN PUERTO RICO  
SUBSIDIARIES AND BRANCH OFFICE IN PUERTO RICO

<u>File</u>	<u>Issuer</u>	<u>Contact</u>	<u>Next Renewal Date</u>	<u>CRD #</u>	<u>Telephone and Fax</u>	<u>Branches</u>	<u>Main and Local Address</u>
323	AXA ADVISORS, LLC	EDWIN SOTO/ STUART ABRAMS	1/1/09	6627	787-759-3333 787-759-3380	11	1290 AVE. OF THE AMERICAS, 9TH FL., NEW YORK, NY 10104 TEL. 212-314-5844  270 MUÑOZ RIVERA AVE., SUITE 505, HATO REY, P.R. 00918
627	BBVA SECURITIES OF PUERTO RICO, INC.	SONIA MARBARAK	1/1/08	39615	787-777-2888 787-777-2069	4	254 MUÑOZ RIVERA AVE, LOBBY LEVEL, HATO REY, PR 00918
164	BEAR, STEARNS & CO. INC.	VIVIAN TORRES/ TIMOTHY J. MURPHY	1/1/09	79	787-753-8004 787-753-8014	1	383 MADISON AVE., NEW YORK, NY 10179 (TEL. 973-793-2213) 115 S. JEFFERSON RD., WHIPPANY, NJ 07981 - MAIL  270 MUÑOZ RIVERA AVE., 5TH FL., HATO REY, PR 00918
131	CHARLES SCHWAB & CO, INC.	FRANCISCO J. VIVAS/ BEVERLY NEILSON	1/1/09	5393	787-281-2295 787-281-2294	1	101 MONTGOMERY ST., SAN FRANCISCO, CA 94104 120 KEARNY ST., MS: SF120KNY-12-345, SAN FRANCISCO, CA 94104 - MAIL TEL: 415-636-3686 250 MUÑOZ RIVERA AVE., LATIN AMERICA CENTER, HATO REY, PR 00918
246	CITICORP FINANCIAL SERVICES CORP	CARLOS GONZALEZ/ DANIEL DEONTANON	1/1/08	17053	787-766-3995 787-756-4926	1	ONE CITIBANK DRIVE, CITIBANK CENTER 3RD FL. S., SAN JUAN, PR 00926-9631 P.O. BOX 70263, SAN JUAN, PR 00936-8263  ONE CITIBANK DR., CITIBANK BLDG. 3RD FL SOUTH, SAN JUAN, PR 00926 787-756-4998
068	CITIGROUP GLOBAL MARKETS INC.	JOHN GAVIN/ ROSEMARY FRANCAVILLA	1/1/09	7059	787-622-6350	1	388 GREENWICH ST., NEW YORK, NY 10013-2396 - TEL. 212-615-9526 REGISTRATION DEPT., 333 W. 34TH ST., 7TH FL., NEW YORK, NY 10001- MAIL Rosa Rodríguez 1 CITIBANK DR., PL NORTH, SAN JUAN, PR 00926 - Municipal Securities Division -Institutional
1062	CONSULTIVA SECURITIES, INC.	MYRNA MILAGROS RIVERA	1/1/09	103818	787-763-5868 787-763-5397		SCOTIABANK PLAZA, S-1201, 273 PONCE DE LEON AVE., SAN JUAN, PR 00917-1923

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1282	CUNA BROKERAGE SERVICES, INC.	VICTOR ALAMO/ TIM HALEVAN	1/1/08	13941	787-759-0102 787-751-4806	5	2000 HERITAGE WAY, WAVERLY, IA 50677 TEL. 319-483-3241 - FAX. 319-352-1611  CAPITAL CENTER 1 BLDG., S-1004, 239 ARTERIAL HOSTOS AVE., SAN JUAN, PR 00918-1476
737	FINANCIAL NETWORK INVESTMENT CORPORATION	LIZETTE RODRIGUEZ/ JACK R. HANDY	1/1/08	13572	787-753-9111 787-753-9077	12	200 N. SEPULVEDA BLVD., SUITE 1300, EL SEGUNDO, CA 90245-5672 TEL. 310-326-3100  268 PONCE DE LEON AVE., S-802, HATO REY, PR 00918
1514	GWFS EQUITIES, INC. (NO INDIVIDUAL RETAIL SALE)	BEATRIZ TORRES/BEVERLY A. BYRNE	1/1/09	13109	787-380-8860		8515 E. ORCHARD ROAD, GREENWOOD VILLAGE, CO 80111 TEL: 303-737-3817  PRADO ALTO, CALLE 1H-4, GUAYNABO, PR 00966
535	ING FINANCIAL ADVISERS, LLC	PAUL HEYWOOD/ MICHELLE JOLLY	1/1/08	34815	787-775-9570	1	151 FARMINGTON AVE. TS31, HARTFORD, CT 06156-1492 TEL: 860-273-3447  2000 MARGINAL KENNEDY AVE., SUITE 411, SAN JUAN, PR 00920-1706
207	JEFFERSON PILOT SECURITIES CORP. - 787-760-	LUIS M.CORUJO / W. THOMAS BOULTER	1/1/09	3870	787-622-0437 787-622-0443	16	ONE GRANITE PLACE, CONCORD, NH 03301-3258 - TEL. 603-226-5000 P.O. BOX 2005, CONCORD, NH03302 - MAIL  UNION PLAZA, 416 PONCE DE LEON AVE., SUITE 1400, SAN JUAN, PR 00918
1198	KOVACK SECURITIES INC.	FRANK S. LUIS/ RONALD J. KOVACK	1/1/09	44848	787-277-7036 787-277-9629	1	6451 N. FEDERAL HWY., SUITE 1201, FT. LAUDERDALE, FL 33308 - TEL: 954-491-1733  COND. SAN PATRICIO, APT. 1108, GUAYNABO, PR 00968
087	LEHMAN BROTHERS INC.	JOAQUIN IGLESIAS/ LENORE BELL	1/1/09	7506	787-296-6831 787-766-0935	1	745 SEVENTH AVENUE, NEW YORK, NY 10019 - TEL. 212-526-7393 399 PARK AVENUE, 11TH FLOOR, NEW YORK, NY 10022 - MAIL  270 MUÑOZ RIVERA AVENUE, SUITE 501, SAN JUAN, PR 00918-2350

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003	MERRILL LYNCH, PIERCE, FENNER & SMITH INC.	HECTOR W. LAFFITTE/ MARLA MOSKOWITZ	1/1/09	7691	800-523-0663 787-294-3431	2	4 WORLD FINANCIAL CENTER, NEW YORK, NY 10281 - TEL. 212-670-0314 222 BROADWAY, 16TH FLOOR, NEW YORK, NY 10038 - MAIL  MCS PLAZA, LOBBY 255 PONCE DE LEON AVE., SJ, PR 00917 (787-294-3444 -Carlos Medina)
598	MML INVESTORS SERVICES, INC.	FERNANDO F LOPEZ/ ROBERT ROSENTHAL	1/1/09	10409	787-758-2244 787-759-9646	6	1295 STATE STREET., SPRINGFIELD, MA 01111-0001 TEL. 413-744-7885  273 PONCE DE LEON AVE., PLAZA SCOTIA BANK, S-1400, HATO REY, PR 00918
041	MUTUAL OF OMAHA INVESTOR SERVICES INC.	JOSE R. BELLAVISTA/ WILLIAM J. BLUVAS	1/1/09	611	787-782-5252	1	MUTUAL OF OMAHA PLAZA, OMAHA, NE 68175-1020 TEL: 402-351-5770  40 CARR 165, SUITE 510, GUAYNABO, PR 00968-8025
1340	NEW COVENANT FUNDS DISTRIBUTOR, INC.	ELISABEL RUIZ/ HARRY G. HARPER	1/1/08	37465	787-896-8416	1	200 EAST 12TH ST., JEFFERSONVILLE, IN 47130 - TEL: 502-569-5933  CALLE PAVIA FERNANDEZ #104, SAN SEBASTIAN, PR 00685
1161	NFP SECURITIES, INC.	ESTHER ORTIZ/ GARY WACHS	1/1/08	42046	787-520-0585 312-244-9211	2	1250 CAPITAL OF TEXAS HWY., S. #2-125, AUSTIN, TX 78746 TEL. 512-697-6000  270 MUÑOZ RIVERA AVENUE, PH1, SAN JUAN, PR 00918 - 787-764-5075
487	ORIENTAL FINANCIAL SERVICES, CORP.	PATRICK J. DUNN	1/1/08	29753	787-474-1993 787-474-1997	6	997 SAN ROBERTO ST., ORIENTAL GROUP TOWER, 9TH FL., SAN JUAN, PR 00926 P.O. BOX 195119, SAN JUAN, PR 00919-5119
936	PERFORMANCE TRUST CAPITAL PARTNERS, LLC	CHARLES M. CARPENTER/ DAVID F. WILDING	1/1/08	36155	787-620-9833 787-641-9280	1	500 W.MADISON, SUITE 350, CHICAGO, IL 60661 TEL. 312-521-1115, FAX# 312-628-0703  CITIBANK TOWER, 252 P. DE LEON AVE, 15TH FL, SAN JUAN, PR 00918 -787-620-9833 EXT.4

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162	PFS INVESTMENTS INC.	JOSE RIVERA/ DANIEL A. WOODRING	1/1/09	10111	787-753-7850 787-763-1401	42	3120 BRECKINRIDGE BLVD., BLDG. 700, DULUTH, GA 30199-0001 TEL:770-564-7681  MAYAGUEZ #1, HATO REY, PR 00917
134	POPULAR SECURITIES, INC.	MICHAEL MCDONALD	1/1/09	8096	787-758-7400 787-763-3485	8	1020 BANCO POPULAR CENTER, HATO REY, P.R. 00918-1075
787	RAYMOND JAMES FINANCIAL SERVICES, INC.	RAMON R. DANA, JR./ MARY HAAS	1/1/09	6694	787-725-6400 787-725-8195	2	880 CARILLON PARKWAY, ST. PETERSBURG, FL 33716 TEL. 727-567-3020  409 DEL PARQUE ST., 3RD FL., SAN JUAN, PR 00912
595	RD CAPITAL GROUP, INC.	RAMON DOMINGUEZ	1/1/08	37470	787-282-0303 787-282-0356		MCS PLAZA, SUITE 305, 255 PONCE DE LEON AVE., SAN JUAN, PR 00917
723	SAMUEL A. RAMIREZ & COMPANY, INC.	HECTOR MAYOL/ JERRY AULD	1/1/09	6963	787-759-8080 787-753-4071	1	61 BROADWAY - SUITE 2924, NEW YORK, NY 10006-2701 TEL. 212-248-0522  209 MUÑOZ RIVERA AVE., S-1000, HATO REY, PR 00918
665	SANTANDER SECURITIES CORPORATION	JAMES RODRIGUEZ COLOM	1/1/08	41791	787-759-5315 787-759-5364	66	SANTANDER TOWER B7 TABONUCO ST., S-1800, GUAYNABO, PR 00968-3028
471	SCOTIA CAPITAL (USA) INC.	EDUARDO COLON/ LAWRENCE JACOB	1/1/09	2739	787-766-7879	1	ONE LIBERTY PLAZA 165 BROADWAY,NEW YORK,N.Y. 10006 TEL -212-225-6725  PLAZA SCOTIABANK, 273 PONCE DE LEON AVE., HATO REY, PR 00918

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316	SECURITIES MANAGEMENT & RESEARCH, INC.	JOSE M. VAZQUEZ/ SALLY F. PRAKER	1/1/09	759	787-370-5166	1	2450 SOUTH SHORE BLVD., SUITE 400, LEAGUE CITY, TX 77573 P.O.BOX 58969, HOUSTON, TX 77258-8969 TEL: 281-334-2469  CALLE 5 K-3 MONTE BRISAS, FAJARDO, PR 00738
048	SIGNATOR INVESTORS, INC.	MIGUEL A. RIVERA/ LAWRENCE J. NILAND	1/1/09	468	787-754-7180 787-753-9165	5	197 CLARENDON STREET (C-8), BOSTON, MA 02116 - TEL. 617-572-9656  654 PLAZA, 654 MUÑOZ RIVERA, SUITE 1050, , SAN JUAN, PR 00918
616	STARLIGHT SECURITIES INC.	AGUSTIN CABRER	1/1/09	N/A	787-775-2121 787-793-5523		ST. 1, CORNER OF RD 165, SANTA MARINA 2, 2ND FL., URB. REXCO, GUAYNABO, PR 00969
1034	SYNERGY INVESTMENT GROUP, LLC	MARIA DE LOS SANTOS/JEFFREY D. JONES	1/1/09	46035	787-762-0366	1	8320 UNIVERSITY EXECUTIVE PARK DR., SUITE 112, CHARLOTTE, NC 28262 TEL: 704-333-7637  TORRES DEL ESCORIAL II PH 5, TORRES DEL ESCORIAL BOX 2705, CAROLINA, PR 00987
1334	TCM CAPITAL, INC.	RAMON CANTERO-FRAU	1/1/09	129569	787-281-8880		153 O'NEILL STREET, SAN JUAN, PR 00918 P.O. BOX 364065, SAN JUAN, PR 00936-4065 - MAIL
556	THE INVESTMENT CENTER INC.	LESTER R. RIVERA/ RALPH J. DEVITO	1/1/08	17839	787-255-6149 787-255-6149	1	1420 US HIGHWAY 206 N., SUITE 210, BEDMINSTER, NJ 07921 - TEL: 908-707-4422 P.O. BOX 770, 1420 US HIGHWAY 206 N., BEDMINSTER, NJ 07921 - MAIL  URB. RAMIREZ #54 SAN JOSE ST., CABO ROJO, PR 00623
613	TOWER SQUARE SECURITIES INC.	JOSE A. QUIÑONES / LAURIE LENNOX	1/1/09	833	787-725-6292 787-725-8833	3	ONE CITYPLACE, 18TH FL, HARTFORD, CT 06103-3415 P.O. BOX 990022, HARTFORD, CT 06199-0022 - MAIL - TEL. 617-578-4348  VIG TOWER, S-1406, 1225 P. DE LEON AVE., SAN JUAN, PR 00907

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038	TRANSAMERICA FINANCIAL ADVISORS, INC.(754	HUMBERTO TORRES JR./ MARY PEERS	1/1/09	3600	787-754-8080 787-765-0880	4	1150 SO. OLIVE STREET, SUITE T-25-01, LOS ANGELES, CA 90015 - TEL: 213-742-5236 P.O. BOX 512598, LOS ANGELES, CA 90015  121 RODRIGO DE TRIANA ST., URB. EL VEDADO, 2ND FL., SAN JUAN, PR 00918
033	UBS FINANCIAL SERVICES INC.	EUGENIO BELAVAL/ EILEEN ARCURI	1/1/09	8174	787-250-3600 787-250-3626	39	1200 HARBOR BLVD., WEEHAWKEN, NJ 07086 1000 HARBOR BLVD., 8TH FL., COMPLIANCE DEPT., WEEHAWKEN, NJ 07086 - MAI TEL. 201-352-8967 AMERICAN INTL. PLAZA, 250 MUÑOZ RIVERA AVE., HATO REY, PR 00918
177	UBS FINANCIAL SERVICES INCORPORATED OF PR	EUGENIO BELAVAL/ EILEEN ARCURI	1/1/09	13042	787-250-3600 787-250-3626	39	AMERICAN INTL. PLAZA, 250 MUÑOZ RIVERA AVE., HATO REY, PR 00918 1000 HARBOR BLVD., 8TH FL., COMPLIANCE DEPT., WEEHAWKEN, NJ 07086 TEL: 201-352-8967
1442	UNIVERSAL FINANCIAL SERVICES INC.	JOSE C. BENITEZ (EXT. 6108)	1/1/09	131558	787-793-7202 787-625-7095		METRO OFFICE PARK, STREET #1, LOT #10, GUAYNABO, PR
1315	WACHOVIA CAPITAL MARKETS, LLC	STEVEN WALLACE/ SCOTT L. ILARIO	1/1/09	126292	787-711-8110	1	301 S. COLLEGE ST., TW-8, MAIL CODE NC0602, CHARLOTTE, NC 28288-0601 TEL: 704-374-3369  255 PONCE DE LEON, S-1707, SAN JUAN, PR 00917-1917
405	WACHOVIA SECURITIES, LLC	CATHERINE SANTIAGO/ DAVID FISCHER-LODI	1/1/08	19616	787-771-8100 787-758-8558	1	901 EAST BYRD ST., MAIL CODE WS1042, RICHMOND, VA 23219 10700 WHEAT FIRST DR., MAIL CODE WS1042, GLEN ALLEN, VA 23060 - MAIL TEL.804-398-5037 ROYAL BANK CENTER, SUITE 1707, 255 PONCE DE LEON AVE., SAN JUAN, PR 00917-1917
612	WALNUT STREET SECURITIES, INC.	FRANKLIN ROCAFORT/ LAURIE LENNOX	1/1/08	15840	787-771-0005 787-765-0900	6	13045 TESSON FERRY RD., B1-50, ST. LOUIS, MO 63128 - TEL: 617-578-4348  FRANKLIN D. ROOSEVELT AVE., MARGINAL SUR #114 ALTOS, SJ, PR 00917-2746

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1209	WORLD GROUP SECURITIES, INC.	JOSE A. SANTOS/ JOHN W. JOSEPH	1/1/09	114473	787-781-5656	2	11315 JOHNS CREEK PARKWAY, DULUTH, GA 30097-1517 TEL. 770-248-3663
							METRO OFFICE PARK #3, CALLE # 1,S-112, GUAYNABO, PR 00968-1705
<b>Count of Firms in this report:</b>		<b>43</b>					