

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

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323	AXA ADVISORS, LLC	EDWIN SOTO/ MAURYA KEATING	1/1/11	6627	787-759-3333 787-759-3380	11	1290 AVE. OF THE AMERICAS, 12TH FL., NEW YORK, NY 10104 TEL. 212-314-6718  270 MUÑOZ RIVERA AVE., SUITE 505, HATO REY, P.R. 00918
788	BARCLAYS CAPITAL INC.	JOAQUIN IGLESIAS/MARY COSTA	1/1/11	19714	787-296-6831 787-766-0935	1	745 7TH AVENUE, NEW YORK NY 10019 200 PARK AVENUE, NEW YORK NY 10166 - MAIL  270 MUÑOZ RIVERA AVE., SUITE 501, SAN JUAN, PR 00918 (787-759-6915)
627	BBVA SECURITIES OF PUERTO RICO, INC.	SONIA MARBARAK	1/1/11	39615	787-777-2888 787-777-2069	4	254 MUÑOZ RIVERA AVE, LOBBY LEVEL, HATO REY, PR 00918
131	CHARLES SCHWAB & CO, INC.	FRANCISCO J. VIVAS/ BEVERLY NEILSON	1/1/11	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, S-104, HATO REY, PR 00918-1806
246	CITI INTERNATIONAL FINANCIAL SERVICES LLC	CARLOS GONZALEZ	1/1/11	17053	787-766-3995 787-756-4926	1	SANTA MARINA 1 BLDG., S-200, 400 ST. C., REXCO PARK GUAYNABO, PR 00968 P.O. BOX 70263, SAN JUAN, PR 00936-8263  SANTA MARINA 1 BLDG., S-200, 400 ST. C., REXCO PK GUAYNABO, PR 00968 787-756-4998
068	CITIGROUP GLOBAL MARKETS INC.	JOHN GAVIN/ ROSEMARY FRANCAVILLA	1/1/11	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 RODRIGUEZ 270 MUÑOZ RIVERA AVE., 6TH FL., HATO REY, PR 00918 - INSTITUTIONAL - MUNICIPAL SEC
1062	CONSULTIVA SECURITIES, INC.	EDMUNDO GARZA	1/1/11	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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737	FINANCIAL NETWORK INVESTMENT CORPORATION	LIZETTE RODRIGUEZ/ JACK R. HANDY	1/1/11	13572	787-767-7100 787-753-9077	1	200 N. SEPULVEDA BLVD., SUITE 1300, EL SEGUNDO, CA 90245-5672 TEL. 310-326-3100  201 DE DIEGO AVE. SAN FRANCISCO PLAZA 226, SAN JUAN, PR 00927
1663	FINANCIAL TELESIS INC. (JHW FINANCIAL SERVICES)	JAVIER E. CORDERO/JAMES H. WILLIAMS	1/1/11	31012	787-957-1333		4340 REDWOOD HIGHWAY, SUITE A23, SAN RAFAEL, CA 94903 TEL: 415-492-8975  CENTRO INTERNACIONAL DE MERCADEO, CAR. 165 TORRE II, S-602, GUAYNABO, PR 00968
1695	FIRST LEGACY SECURITIES, LLC	DEFICIENT/ RONALD LANKFORD	1/1/11	47079	787-282-6180	1	1100 ABERNATHY ROAD, 500 NORTH PARK, SUITE 400, ATLANTA, GA 30328-5646 TEL: 404-965-7286  268 MUÑOZ RIVERA AVE., WESTERNBANK WORLD PLAZA, S-2006, SAN JUAN, PR 00918
1670	FIRSTBANK PUERTO RICO SECURITIES CORP.	LUIS I. ALFARO MARTINEZ	1/1/11	150135	787-729-8111		1519 PONCE DE LEON AVENUE, STOP 23, SAN JUAN, PR 00908 P.O. BOX 9146
1514	GWFS EQUITIES, INC. (NO INDIVIDUAL RETAIL SALE)	BEATRIZ TORRES/BEVERLY A. BYRNE	1/1/11	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 ROSENBERG	1/1/11	34815	787-775-9570	1	ONE ORANGE WAY, C1S, WINDSOR, CT 06095 TEL: 860-580-2819  PIEDRAS BLANCAS, 301 CAMINO PEPE BURGAS, GUAYNABO, PR 00970
1667	INTERNATIONAL FINANCIAL SOLUTIONS, INC.	MARIA DELOSSANTOS/ALEXIS MCKENZIE	1/1/11	40375	939-630-4768	2	1 GLENLAKE PARKWAY, SUITE 700, ATLANTA, GA 30328 - 678-999-2407 6 PARKSIDE CONC., SAN PATRICIO AVE., PH, GUAYNABO, PR 00968 - RAFAEL NIE 787-999-1636 TORRES DEL ESCORIAL, APT PHS, CAROLINA, PR 00983 - MARIA T. DELOSSANTOS

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289	INVESCO DISTRIBUTORS, INC.	BENJAMIN UTT/ LISA O. BRINKLEY	1/1/11	7369	787-771-2960		11 GREENWAY PLAZA, SUITE 2500, HOUSTON, TX 77046-1173 TEL: 713-214-4516 INSTITUTIONAL INVESTORS ONLY  250 MUÑOZ RIVERA AVE., SUITE 406, HATO REY, PR 00918 (PEDRO GONZALEZ)
630	JEFFERIES & COMPANY, INC.	VIVIAN RIVERA/ EUGENE MCGIVNEY	1/1/11	2347	787-498-2999		11100 SANTA MONICA BLVD., 11TH FL., LOS ANGELES, CA 90025 TEL: 212-284-2449 520 MADISON AVE., 10TH FL., NEW YORK, NY 10022 - MAIL  PASEO ALHAMBRA B4 #10, TORRIMAR, GUAYNABO, PR 00966
1198	KOVACK SECURITIES INC.	FERNANDO NAVARRO/ RONALD J. KOVACK	1/1/11	44848	787-758-8234	1	6451 N. FEDERAL HWY., SUITE 1201, FT. LAUDERDALE, FL 33308 - TEL: 954-491-1733  1563 PONCE DE LEON, SAN JUAN, PR 00926
207	LINCOLN FINANCIAL SECURITIES CORPORATION	LOURDES M. CORUJO / STEPHEN M. YOUHN	1/1/11	3870	787-622-0437 787-622-0443	13	ONE GRANITE PLACE, CONCORD, NH 03301-3258 - TEL. 603-226-5000 P.O. BOX 2005, CONCORD, NH03302 - MAIL  URB. CARIBE, 1541 PONCE DE LEON AVE, SAN JUAN, PR 00926
003	MERRILL LYNCH, PIERCE, FENNER & SMITH INC.	HECTOR W. LAFFITTE/ KATINA M. NELSON	1/1/11	7691	800-523-0663 787-294-3431	1	ONE BRYANT PARK, NEW YORK, NY 10036 - TEL. 704-315-5179 101 S TRYON ST., NC1-002-19-44, CHARLOTTE, NC 28255 - MAIL  15 SECOND ST., S-201, GUAYNABO, PR 00968
579	MESIROW FINANCIAL INC.	JEFFREY LEVINE	1/1/11	2764	312-595-6072		353 NORTH CLARK STREET, CHICAGO, IL 60654  ONE AGENT LOCATED IN PUERTO RICO - LUIS R. VILLAREJO CRD# 1732231
598	MML INVESTORS SERVICES, INC.	FERNANDO F LOPEZ/ ROBERT ROSENTHAL	1/1/11	10409	787-758-2244 787-759-9646	4	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

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1536	MMLISI FINANCIAL ALLIANCES LLC	FERNANDO F. LOPEZ/JEFFREY M. SAJDAK	1/1/11	119003	787-758-2244	1	1295 STATE ST., SPRINGFIELD, MA1111-0001 TEL: 413-744-8811  273 PONCE DE LEON AVE., PLAZA SCOTIA BANK, S-1400, HATO REY, PR 00918
241	MORGAN STANLEY & CO. INCORPORATED	ROBERTO PIETRANTONI/SEAN DRISCOLL	1/1/11	8209	787-773-2115	1	1585 BROADWAY, NEW YORK, N.Y. 10036-8293 - TEL:410-534-2152 - RETAIL 901 S. BOND ST., 3RD FL., C/O NORTH AMERICAN REGISTRATION, BALTIMORE, M  270 MUÑOZ RIVERA AVE., SUITE 400, HATO REY, PR 00917 - INSTITUTIONAL
041	MUTUAL OF OMAHA INVESTOR SERVICES INC.	JOSE R. BELLAVISTA/ WILLIAM J. BLUVAS	1/1/11	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
1161	NFP SECURITIES, INC.	FRANK WELDON/ GARY WACHS	1/1/11	42046	787-520-0585 312-244-9211	3	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	1/1/11	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
1654	PARITER SECURITIES LLC	BRAULIO NIEVES	1/1/11	127836	787-781-2555		243 CARRETERA #2, GUAYNABO, PR 00966 P.O. BOX 11852, SAN JUAN, PR 00966 - MAIL
936	PERFORMANCE TRUST CAPITAL PARTNERS, LLC	CHARLES M. CARPENTER/ DAVID F. WILDING	1/1/11	36155	787-620-9833 787-641-9280	1	500 W.MADISON, SUITE 350, CHICAGO, IL 60661 TEL. 312-521-1115, FAX# 312-628-0703  638 ALDEBARAN, BDE BLDG., S-HQ-2, SAN JUAN, PR 00920 -787-620-9833 EXT.47

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162	PFS INVESTMENTS INC.	JOSE RIVERA/ DANIEL A. WOODRING	1/1/11	10111	787-753-7850 787-763-1401	38	3120 BRECKINRIDGE BLVD., BLDG. 700, DULUTH, GA 30199-0001 TEL:770-564-7681  MAYAGUEZ #1, SUITE A, HATO REY, PR 00917
134	POPULAR SECURITIES, INC.	MICHAEL MCDONALD	1/1/11	8096	787-758-7400 787-763-3485	7	208 PONCE DE LEON AVE., POPULAR CENTER S-1200, SAN JUAN, P.R. 00918-1035
787	RAYMOND JAMES FINANCIAL SERVICES, INC.	RAMON R. DANA, JR./ MARY HAAS	1/1/11	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	1/1/11	37470	787-282-0303 787-282-0356	1	MCS PLAZA, SUITE 305, 255 PONCE DE LEON AVE., SAN JUAN, PR 00917-1903
723	SAMUEL A. RAMIREZ & COMPANY, INC.	JOSE ERAZO/ JERRY AULD	1/1/11	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	1/1/11	41791	787-759-5315 787-759-5364	55	SANTANDER TOWER B7 TABONUCO ST., S-1800, GUAYNABO, PR 00968-3028
471	SCOTIA CAPITAL (USA) INC.	EDUARDO COLON/ LAWRENCE JACOB	1/1/11	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	1/1/11	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/ THOMAS HORACK	1/1/11	468	787-754-7180 787-753-9165	4	197 CLARENDON STREET (C-8), BOSTON, MA 02116 - TEL. 617-572-5912  654 PLAZA, 654 MUÑOZ RIVERA, SUITE 1050, , SAN JUAN, PR 00918
616	STARLIGHT SECURITIES INC.	AGUSTIN CABRER	1/1/11	N/A	787-775-2121 787-793-5523		BLANCO BLDG., 2ND FL., ROOSEVELT AVE. #505, GUAYNABO, PR 00920 P.O. BOX 195537, SAN JUAN, PR 00919-5537 - MAIL
613	TOWER SQUARE SECURITIES INC.	JOSE A. QUIÑONES / CHRISTINE DEBIASE	1/1/11	833	787-725-6292 787-725-8833	2	1300 HALL BLVD., BLOOMFIELD, CT 06002 - 212-578-9414 1 METLIFE PLAZA, 27-01 QUEENS PLAZA NORTH, LONG ISLAND CITY, NY 11101 - I  VIG TOWER, S-1406, 1225 P. DE LEON AVE., SAN JUAN, PR 00907
918	TRANSAMERICA FINANCIAL ADVISORS, INC.	HUMBERTO TORRES JR../DIONNE C. FAJARD	1/1/11	16164	787-754-8080	3	570 CARILLON PARKWAY, ST. PETERSBURG, FL 33716-1202 TEL: 727-299-1705 P.O. BOX 9053, CLEARWATER, FL 33758-9053 - MAIL  121 RODRIGO DE TRIANA ST., URB. EL VEDADO, 2ND FL., SAN JUAN, PR 00918
033	UBS FINANCIAL SERVICES INC.	EUGENIO S. BELAVAL/ EILEEN ARCURI	1/1/11	8174	787-250-3600 787-250-3626	29	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., PH FLOORS, SAN JUAN, PR 00918
177	UBS FINANCIAL SERVICES INCORPORATED OF PR	EUGENIO S. BELAVAL/ EILEEN ARCURI	1/1/11	13042	787-250-3600 787-250-3626	29	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 250 MUÑOZ RIVERA BLVD., PH FLOORS, SAN JUAN, PR 00918

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1442	UNIVERSAL FINANCIAL SERVICES INC.	JOSE C. BENITEZ (EXT. 6108)	1/1/11	131558	787-793-7202 787-625-7095		METRO OFFICE PARK, STREET #1, LOT #10, GUAYNABO, PR - TEL: 787-706-7337
612	WALNUT STREET SECURITIES, INC.	FRANKLIN ROCAFORT/ CHRISTINE DEBIASE	1/1/11	15840	787-771-0005 787-765-0900	5	13045 TESSON FERRY RD., B1-50, ST. LOUIS, MO 63128 - TEL: 212-578-9414 1 METLIFE PLAZA, 27-01 QUEENS PLAZA NORTH, LONG ISLAND CITY, NY 11101 - I  FRANKLIN D. ROOSEVELT AVE., MARGINAL SUR #114 ALTOS, SJ, PR 00917-2746
405	WELLS FARGO ADVISORS, LLC	FRANCES RODRIGUEZ/ ILONA STANLEY	1/1/11	19616	787-771-8100 787-758-8558	1	ONE NORTH JEFFERSON AVE., ST. LOUIS, MO 63103  TEL.314-955-9949 CITY VIEW PLAZA, S-3020, 48 RD. 165, KM 1.2 GUAYNABO, PR 00968-8000
1209	WORLD GROUP SECURITIES, INC.	PETER J. LUGO/ KEVIN PALMER	1/1/11	114473	787-777-0310	2	11315 JOHNS CREEK PARKWAY, DULUTH, GA 30097-1517 TEL. 770-248-3288  BBVA BLDG./1738 AMARILLO ST., SUITE 307 A-1, SAN JUAN, PR 00926

**Count of Firms in this report: 46**