

## INVESTMENT ADVISORS REGISTERED AND LOCATED IN PUERTO RICO

<u>File</u>	<u>Name</u>	<u>Main and Local Address and Contact</u>	<u>Next Renewal Date</u>	<u>CRD #</u>	<u>Telephone and Fax</u>	<u>Representative</u>
725N	ARCO CAPITAL MANAGEMENT, LLC	CITY VIEW PLAZA II, SUITE 6000, 48 ROAD 165, GUAYNABO, PR 00968-8060 RA ARE EXEMPTED FROM REGISTERING  JUAN CARLOS BOU	1/1/11	143157	787-993-9659 787-993-9651	
764	ATLANTIS INVESTMENT COACHING, LLC	251 RECINTO SUR ST, 3RD FL SUITE 203, OLD SAN JUAN, PR 00901 P.O. BOX 722, DORADO, PR 00646-0722 - MAIL  OMAR PEREIRA	1/1/11	145416	787-721-7929 888-724-2410	1
417N	AXA ADVISORS, LLC (12BR)	1290 AVENUE OF THE AMERICAS, NEW YORK, NY 10104 TEL: 212-314-3811  270 MUÑOZ RIVERA AVE., S-505, HATO REY, PR 00918 EDWIN SOTO/JAMES P. BODOVITZ	1/1/11	6627	787-759-3333 787-759-3380	
245	BBVA SECURITIES OF PUERTO RICO INC. (4BR)	BBVA TOWER, LOBBY LEVEL, 254 MUÑOZ RIVERA AVE, SAN JUAN, PR 00918  SONIA MARBARAK	1/1/11	N/A	787-777-2888 787-777-2069	
059N	CHARLES SCHWAB & CO INC (1BR)	101 MONTGOMARY ST., SAN FRANCISCO, CA 94104 TEL: 415-627-7000  250 MUÑOZ RIVERA AVE., S-104, HATO REY, PR 00918-1806 FRANCISCO VIVAS/ THOMAS C. FISHEL	1/1/11	5393	787-281-2295 787-281-2294	
360N	CONSULTIVA INTERNACIONAL INC.	SCOTIABANK PLAZA, S-1201, 273 PONCE DE LEON AVE., SAN JUAN, PR 00917-1923  MYRNA MILAGROS RIVERA	1/1/11	111846	787-763-5868 787-763-5397	6
845	EUROBANK TRUST & WEALTH MANAGEMENT GROUP	270 MUÑOZ RIVERA AVENUE, MEZZANINE FLOOR, HATO REY, PR 00918  ALEJANDRO M. PASCUAL	1/1/11	139753	787-296-0440 787-296-2112	2

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734N	EVOLVE SECURITIES, INC. (1BR)	11300 N. CENTRAL EXPRESSWAY, SUITE 601, DALLAS, TX 75243 TEL: 214-891-9781 FAX: 214-891-9768 6 PARKSIDE COND., SAN PATRICIO AVE., PH FL., GUAYNABO, PR 00908 RAFAEL NIETO/ CAROLINE B. AUSTIN	1/1/11	127474	787-999-1636	
308N	FINANCIAL NETWORK INVESTMENT CORP. (1BR)	200 N. SEPULVEDA BLVD., SUITE 1300, EL SEGUNDO, CA 90245-5672 TEL. 310-326-3100 201 DE DIEGO AVE.M SAN FRANCISCO PLAZA 226, SAN JUAN, PR 0097 LIZETTE RODRIGUEZ/ JACK R. HANDY	1/1/11	13572	787-767-7100 787-753-9077	1
345	FINANXIAL INVESTMENT ADVISORS, CORP.	1563 PONCE DE LEON AVENUE, URB CARIBE, SAN JUAN, PR 00926 P.O. BOX 23063, SAN JUAN, PR 00931-3063  FERNANDO A. NAVARRO	1/1/11	N/A	787-758-8262 787-758-8334	1
325	FRANKLIN A ROCAFORT	FRANKLIN D. ROOSEVELT AVE.,MARGINAL SUR #114 ALTOS, SAN JUAN,PR 00917-2746 787-771-0005  FRANKLIN A ROCAFORT	1/1/11	N/A	787-771-0005	
800	FREEDOM ADVISORY, LLC	CENTRO INTERNACIONAL DE MERCADEO, TOWER 1, S-205, GUAYNABO, PR 00968 PO BOX 363113, SAN JUAN, PR 00936-3113  EDUARDO RAMOS	1/1/11	147546	787-792-3000 787-277-0218	1
837	HECTOR MENDEZ VAZQUEZ DBA MENDEZ & ASSOCIA	BCO. COOPERATIVO PLAZA, SUITE 504B, 623 PONCE DE LEON AVENUE HATO REY, PR 00917  HECTOR MENDEZ VAZQUEZ	1/1/11		787-281-8773	
856NSIFS	ADVISORY, LLC	303 PERIMETER CENTER N., SUITE 300, ATLANTA, GA 30346 678-690-8526 6 PARKSIDE COND., SAN PATRICIO AVE., PH, GUAYNABO, PR 00968 RAFAEL NIETO/ JANET THOMPSON	1/1/11	40375	787-999-1636 678-690-8531	1

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367N	ING FINANCIAL ADVISERS, LLC (1BR)	151 FARMINGTON AVE., TS31, HARTFORD, CT 06156-1492 TEL: 860-273-3440  MARGINAL KENNEDY AVE., 771 CALLE 1, S-411, SAN JUAN, PR 00920-1706 PAUL HEYWOOD/ KATHLEEN MANKE	1/1/11	34815	787-775-9570	
854	LIGHTHOUSE INVESTMENT ADVISORS CORP.	CALLE MENDEZ VIGO 60 ALTOS ESTE #202, MAYAGUEZ, PR 00680 HC1 BOX 29030 PMB 747, CAGUAS, PR 00725  ERIC VAZQUEZ	1/1/11	152638	787-675-0854	
047N	LINCOLN FINANCIAL SECURITIES CORP. (13BR)	ONE GRANITE PLACE, CONCORD, NH 03301 TEL: 603-226-5371 FAX: 603-226-5035 URB. CARIBE, 1541 PONCE DE LEON AVE., SAN JUAN, PR 00926 LOURDES M.CORUJO/ LORI WESTON	1/1/11	3870	787-622-0437 787-622-0443	
358	MERCHANT BANKING ADVISORS INC.	253 SAN SEBASTIAN ST., MEZZANINE LEVEL, OLD SAN JUAN, PR 00901-1205  JOHN RICHARDSON	1/1/11	N/A	787-724-8063 787-725-6893	1
614N	MESIROW FINANCIAL INVESTMENT MANAGEMENT, INC	350 N. CLARK ST., CHICAGO, IL 60610 TEL: 312-595-6072  A-22 CALLE 1 PARQUES SAN IGNACIO, SAN JUAN, PR 00921-4848 LUIS VILLAREJO/ BRIAN FRANC	1/1/11	111135	787-382-4982 312-595-7208	1
269N	MML INVESTORS SERVICES, INC. (6BR)	1295 STATE ST., SPRINGFIELD, MA 01111 -0001 TEL: 413-737-8400 273 PONCE DE LEON AVE., PLAZA SCOTIA BANK, S-1400, HATO REY, PR 00918 FERNANDO LOPEZ/ ROBERT ROSENTHAL	1/1/11	10409	787-758-2244 787-759-9646	
804N	MMLISI FINANCIAL ALLIANCES, LLC (BR - 1)	1295 STATE STREET, SPRINGFIELD, MA 01111-0001 TEL: 413-744-8811 FAX: 413-744-1295 273 PONCE DE LEON AVE., PLAZA SCOTIA BANK, S-1400, HATO REY, PR 00918 FERNANDO LOPEZ/JEFFREY SAJDAK	1/1/11	119003	787-758-2244	

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576N	NFP SECURITIES, INC. (2BR)	1250 CAPITAL OF TEXAS HWY SOUTH, 2-125, AUSTIN, TX 78746 TEL:512-697-6000 FAX: 512-697-5000 270 MUÑOZ RIVERA AVE., PH1, SAN JUAN, PR 00918 FRANK WELDON/ DAVID HORN	1/1/11	42046	787-520-0585 312-244-9211	
369	ORIENTAL FINANCIAL SERVICES CORP. (6BR)	PROF. OFFICE PARK IV, 997 SAN ROBERTO ST., 9TH FL., SAN JUAN, PR 00926 P.O. BOX 195119, SAN JUAN, PR 00919-5119  PATRICK J. DUNN	1/1/11	N/A	787-474-1993 787-474-1997	
537	ORIENTAL TRUST	PROFESSIONAL OFFICE PARK, 997 SAN ROBERTO ST., 9TH FL., SAN JUAN, PR 00926  JUAN JOSE SANTIAGO	1/1/11	N/A	787-474-1993	1
784N	PARITER WEALTH MANAGEMENT GROUP LLC	243 CARRETERA #2, GUAYNABO, PR 00966-1915 P.O. BOX 11852, SAN JUAN, PR 00922-1852 - MAIL  JAVIER REYES	1/1/11	146622	787-781-2555 787-781-2612	3
377N	POPULAR SECURITIES, INC. (8BR)	POPULAR CENTER, 209 PONCE DE LEON AVE., SUITE 1200, HATO REY, PR 00918 TEL: 787-758-7400  CARMEN GLORIA RODRIGUEZ	1/1/11	8096	787-296-0630 787-763-5995	5
810N	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC.	880 CARILLON PARKWAY, SAINT PETERSBURG, FL 33716  (2) IAR - LOCATED IN PUERTO RICO RAMON DANA & EDUARDO GUZMAN JASON THACKERAY	1/1/11	149018	727-567-3072 727-567-8510	2
657N	SAN JUAN ASSET MANAGEMENT, INC.	1519 PONCE DE LEON AVE., S-1501, FIRST BANK BLDG., SAN JUAN, PR 00909 P.O. BOX 9986, SAN JUAN, P.R. 00908 - MAIL  JOSE A. VIZCARRONDO	1/1/11	138046	787-721-2483 787-724-1554	3

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668	SAN JUAN CAPITAL PARTNERS, LLC	61 BROADWAY, SUITE 2924, NEW YORK, NY 10006 TEL: 212-248-0522 FAX: 212-248-3845 BANCO POPULAR CENTER, 209 MUÑOZ RIVERA, S-1000, HATO REY, PR 00918 JOSE A. ERAZO/JERRY AULD	1/1/11	138997	787-759-8080 787-753-4071	7
319N	SANTANDER ASSET MANAGEMENT CORP.	SANTANDER TOWER B-7 TABONUCO ST., SUITE 1800, GUAYNABO, PR 00969 TEL. 787-759-5340  ANA SUAREZ	1/1/11	109399	787-759-5378 787-759-5366	4
318N	SANTANDER SECURITIES CORP. (55BR)	SANTANDER TOWER B7 TABONUCO ST., S-1800, GUAYNABO, PR 00968-3028 TEL. 787-759-5330  ANA SUAREZ	1/1/11	41791	787-759-5378 787-759-5306	43
829	SELECT ADVISORY GROUP INC.	250 MUÑOZ RIVERA AVE., AMERICAN INTERNATIONAL PLAZA, S-350, SJ, PR 00918  1353 AVE. LUIS VIGOREAUX, PMB 368, GUAYNABO, PR 00966 - MAIL ANTHONY PIERLUISI	1/1/11	150129	787-969-3939 787-754-5322	2
213N	TOWER SQUARE SECURITIES, INC. (2BR)	ONE TOWER SQUARE, 2 MS, HARTFORD, CT 06183- MAIN TEL: 860-954-3457 P.O. BOX 5016, HARTFORD, CT 06102-5016 - MAILING VIG TOWER, 1225 PONCE DE LEON AVE., S-1406, SAN JUAN, PR 00907 JOSE QUIÑONES/ RUSSELL JOHNSON	1/1/11	833	787-725-6292 787-725-8833	
584N	TRANSAMERICA FINANCIAL ADVISORS, INC. (4BR)	570 CARILLON PARKWAY, ST. PETERSBURG, FL 33716-1202 TEL: 727-299-1705 P.O. BOX 9053, CLEARWATER, FL 33758-9053 121 RODRIGO DE TRIANA ST., 2ND FL., SAN JUAN, PR 00918 HUMBERTO TORRES JR./DIONNE FAJARDO	1/1/11	16164	787-754-8080	
093N	UBS FINANCIAL SERVICES INC. (29BR)	1200 HARBOR BLVD., WEEHAWKEN, NJ 07086 TEL: 212-352-3000 AMERICAN INTL. PLAZA, 250 M. RIVERA BLVD., PH FLOORS., SAN JUAN, PR 00918 EUGENIO BELAVAL/ MARA GALEANO	1/1/11	8174	787-250-3600 787-250-3626	

COMMISSIONER OF FINANCIAL INSTITUTIONS  
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717N UNIVERSAL FINANCIAL SERVICES INC.	METRO OFFICE PARK, STREET #1, LOT #10, GUAYNABO, PR 00922	1/1/11	131558	787-706-7337 787-625-7093	1
508N WELLS FARGO ADVISORS, LLC (1BR)	M. CASSANDRA WEBB ON N. JEFFERSON AVE., ST. LOUIS, MO - TEL: 314-955-9949 FAX: 314-955-2726 CITY VIEW PLAZA, S-3020, 48 RD. 165, KM 1.2., GUAYNABO, PR 00968-8000 FRANCES RODRIGUEZ/ ILONA STANLEY	1/1/11	19616	787-771-8100 787-758-8558	

**Count of Firms in this report: 37**