

**COMPANY REGISTRATION AND MONITORING DEPARTMENT
LIST OF CAPITAL MARKET PROFESSIONALS**

NEW REGISTRANTS FOR SEPTEMBER 2013

#	CR #	NAME	TYPE
<u>BROKER IN SECURITIES</u>			
<u>01-2004-00001</u>		<u>A & A SECURITIES, INC.</u>	
1	02-2013-08352	GO, ZHAINEE ROSE SUNICO	AP
2	02-2004-00955	ZAFRA, HELEN YOUNG	S