



# NDB&F

August 2016

## NEBRASKA DEPARTMENT OF BANKING & FINANCE

### Monthly Numbers Report

Securities Registrations			
Filing/Security Type	Paper	Electronic	Total
Additional	39	397	436
Oversales	1	52	53
Renewal Filings	269	1943	2212
New Notice Filings	134	179	313
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	2	0	2
BDC	0	0	0
Debt	0	0	0
Qualification	0	0	0
Other	0	0	0
Denials	0	0	0
Sales of Unregistered Securities	0	0	0
Withdrawals	0	0	0

Broker-Dealers and Broker-Dealer Agents			
Broker-Dealers			
Activity	FINRA	NON-FINRA	Total
Approved	3	0	3
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	5	0	5
Gain (+) /Loss (-) BD's between Jun & Jul 2016	-2	0	-2
<b>Total BD's Registered as of July 31, 2016</b>	<b>1,338</b>	<b>31</b>	<b>1,369</b>
Broker-Dealer Agents			
Activity	FINRA	NON-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	2,414	0	2,414
Denied	0	0	0
Terminations	1,580	0	1,580
Gain (+) /Loss (-) BDA's between Jun & Jul 2016	834	0	834
<b>Total BDA's Registered as of July 31, 2016</b>	<b>103,610</b>	<b>52</b>	<b>103,662</b>

Investment Advisers and Representatives			
Investment Advisers			
Activity	Registered	Notice Filed	Total
Approved	1	11	12
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	1	2	3
Gain (+) /Loss (-) IA's between Jun & Jul 2016	0	9	9
<b>Total IA's Registered as of July 31, 2016</b>	<b>110</b>	<b>1,326</b>	<b>1,436</b>
Investment Adviser Representatives			
Activity	Registered	Notice Filed	Total
Approved	2	76	78
Denied	0	0	0
Terminated	0	69	69
Gain (+) /Loss (-) IAR's between Jun & Jul 2016	2	7	9
<b>Total IAR's Registered as of July 31, 2016</b>	<b>197</b>	<b>3,851</b>	<b>4,048</b>



# NDB&F

August 2016

## NEBRASKA DEPARTMENT OF BANKING & FINANCE

### Monthly Numbers Report

<b>Exemptions</b>	
<b>Exemption Type</b>	<b>Number</b>
8-1108.02(2) Paper	9
8-1108.02(2) Paper - Withdrawn	1
8-1108.02(2) EFD	14
8-1108.02(2) EFD - Withdrawn	0
8-1108.02(3)	0
8-1111(16)	0
8-1110(5)(b)	0
8-1111(20)	0
8-1110(8)	0
8-1111(9)	10
8-1111(9) Withdrawn	0
8-1111(11)(a)	0
8-1111(11)(b)	0
8-1111(14)	0
8-1111(15)	0
8-1111(17)	0
8-1111(23)	0
<b>Total Exemptions Approved as of July 31, 2016</b>	<b>33</b>

<b>Activity</b>	<b>Total</b>
New Loan Broker filing	0
Loan Broker amendment filing	0
Loan Broker renewal filing	0
<b>Total Loan Brokers Registered as of August 31, 2016</b>	<b>9</b>

<b>SAMP Act</b>	
<b>Business Opportunities</b>	
<b>Activity</b>	<b>Total</b>
New Business Opportunity filing	0
Business Opportunity amendment filing	0
Business Opportunity renewal filing	1
<b>Total filings as of August 31, 2016</b>	<b>6</b>

<b>Franchise Exemption</b>	
<b>Activity</b>	<b>Total</b>
Franchise Exemption filing	10