

Securities Registrations

Filing/Security Type	Paper	Electronic	Total
New Notice Filings	123	59	182
Renewal Filings	212	1922	2134
Additions	20	514	534
Oversales	0	160	160
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	5	0	5
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

Exemptions

Exemption Type	Filings	Withdrawals
8-1108.02(2) Paper	1	1
8-1108.02(2) Electronic	30	6
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	2	1
8-1111(11)(a) and (b)	0	0
8-1111(14)	0	0
8-1111(15)	1	0
8-1111(16)	0	0
8-1111(20)	0	0
8-1111(21)	0	0
8-1111(23)	0	0
Reg A tier 2		
Total Exemptions Received as of December 2018	34	8

Loan Broker Act

Activity	Total
New Loan Broker filing	-
Loan Broker amendment filing	-
Loan Broker renewal filing	1
Total Loan Brokers Registered as of December 2018	9

SAMP Act

Business Opportunities

Activity	Total
New Business Opportunity filing	-
Business Opportunity amendment filing	-
Business Opportunity renewal filing	-
Total filings as of December 2018	5

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of December 2018	13

Broker-Dealers and Broker-Dealer Agents

Broker-Dealers			
Activity	FINRA	NON-FINRA	Total
Approved	4	0	4
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	22	0	22
Gain (+) /Loss (-) BD's between November & Decem	-18	0	-18
Total BD's Registered as of December 2018	1,306	27	1,333

Broker-Dealer Agents			
Activity	FINRA	NON-FINRA	Total
Approved	965	0	965
Denied		0	0
Terminations	6,487	1	6,488
Gain (+) /Loss (-) BDA's between November & Decem	-5,522	-1	-5,523
Total BDA's Registered as of December 2018	104,060	77	104,137

Investment Advisers and Representatives

Investment Advisers			
Activity	Registered	Notice Filed	Total
Approved	5	12	17
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	0	85	85
Gain (+) /Loss (-) IA's between November & Decem	5	-73	-68
Total IA's Registered as of December 2018	106	1,360	1,466

Investment Adviser Representatives			
Activity	Registered	Notice Filed	Total
Approved	0	52	52
Denied	0	0	0
Terminated	6	181	187
Gain (+) /Loss (-) IAR's between November & Decem	-6	-129	-135
Total IAR's Registered as of December 2018	173	4,121	4,294