

**Securities Registrations**

Filing/Security Type	Paper	Electronic	Total
New Notice Filings	205	159	364
Renewal Filings	237	1806	2043
Additions	15	469	484
Oversales	3	70	73
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	12	0	12
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	7	2
8-1108.02(2) Electronic	33	1
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	6	0
8-1111(11)(a) and (b)	0	0
8-1111(14)	0	0
8-1111(15)	0	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		
<b>Total Exemptions Received as of January 2018</b>	<b>46</b>	<b>3</b>

**Loan Broker Act**

Activity	Total
New Loan Broker filing	-
Loan Broker amendment filing	-
Loan Broker renewal filing	-
<b>Total Loan Brokers Registered as of January 2018</b>	<b>7</b>

**SAMP Act**

**Business Opportunities**

Activity	Total
New Business Opportunity filing	-
Business Opportunity amendment filing	-
Business Opportunity renewal filing	-

## Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of January 2018	9



## Bureau of Securities Monthly Report

January 2017

Page 2

### Broker-Dealers and Broker-Dealer Agents

#### Broker-Dealers

Activity	FINRA	NON-FINRA	Total
Approved	7	0	7
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	18	1	19
Gain (+) /Loss (-) BD's between December and January	-11	-1	-12
<b>Total BD's Registered as of January 2018</b>	<b>1,309</b>	<b>28</b>	<b>1,337</b>

#### Broker-Dealer Agents

Activity	FINRA	NON-FINRA	Total
Approved	3534	0	3,534
Denied	0	0	0
Terminations	1,038	30	1,068
Gain (+) /Loss (-) BDA's between December and January	2,496	30	2,526
<b>Total BDA's Registered as of January 2018</b>	<b>104,218</b>	<b>83</b>	<b>104,301</b>

### Investment Advisers and Representatives

#### Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	2	16	18
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	2	1	3
Gain (+) /Loss (-) IA's between December and January	0	15	15
<b>Total IA's Registered as of January 2018</b>	<b>94</b>	<b>1,347</b>	<b>1,441</b>

#### Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	3	115	118
Denied	0	0	0
Terminated	1	55	56
Gain (+) /Loss (-) IAR's between December and January	2	60	62
<b>Total IAR's Registered as of January 2018</b>	<b>172</b>	<b>4,059</b>	<b>4,231</b>