

**Securities Registrations**

| Filing/Security Type             | Paper | Electronic | Total |
|----------------------------------|-------|------------|-------|
| New Notice Filings               | 169   | 93         | 262   |
| Renewal Filings                  | 145   | 1944       | 2089  |
| Additions                        | 26    | 361        | 387   |
| Oversales                        | 3     | 80         | 83    |
| Common Stock                     | 0     | 0          | 0     |
| Limited Partnerships             | 0     | 0          | 0     |
| Preferred Stock                  | 0     | 0          | 0     |
| REIT                             | 4     | 0          | 4     |
| BDC                              | 0     | 0          | 0     |
| Debt                             | 0     | 0          | 0     |
| Qualification                    | 1     | 0          | 1     |
| 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         | 0           |
| 8-1108.02(2) Electronic                          | 32        | 2           |
| 8-1110(5)(b)                                     | 0         | 0           |
| 8-1110(8)  | 0         | 0           |
| 8-1111(9)  | 12        | 1           |
| 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                                     | 0         | 0           |
| <b>Total Exemptions Received as of June 2018</b> | <b>45</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 June 2018</b> | <b>7</b> |

**SAMP Act**

**Business Opportunities**

| Activity                              | Total    |
|---------------------------------------|----------|
| New Business Opportunity filing       | -        |
| Business Opportunity amendment filing | -        |
| Business Opportunity renewal filing   | -        |
| <b>Total filings as of June 2018</b>  | <b>5</b> |

**Franchise Exemption**

| Activity  | Total     |
|---|-----------|
| <b>Franchise Exemption filings Received as of June 2018</b> | <b>16</b> |

**Broker-Dealers and Broker-Dealer Agents**

| <b>Broker-Dealers</b>                        |              |                  |              |
|--|--------------|------------------|--------------|
| <b>Activity</b>                              | <b>FINRA</b> | <b>NON-FINRA</b> | <b>Total</b> |
| Approved                                     | 2            | 0                | 2            |
| Applications Abandoned                       | 0            | 0                | 0            |
| Applications Denied                          | 0            | 0                | 0            |
| Registrations Terminated/Withdrawn           | 3            | 0                | 3            |
| Gain (+) /Loss (-) BD's between May & June   | -1           | 0                | -1           |
| <b>Total BD's Registered as of June 2018</b> | <b>1,326</b> | <b>29</b>        | <b>1,355</b> |

| <b>Broker-Dealer Agents</b>                         |                |                  |                |
|---|----------------|------------------|----------------|
| <b>Activity</b>                                     | <b>FINRA</b>   | <b>NON-FINRA</b> | <b>Total</b>   |
| Approved (Includes Automatic, Manual, Temp. Queues) | 1964           | 0                | 1,964          |
| Denied  |                | 0                | 0              |
| Terminations  | 1,434          | 0                | 1,434          |
| Gain (+) /Loss (-) BDA's between May & June         | 530            | 0                | 530            |
| <b>Total BDA's Registered as of June 2018</b>       | <b>106,495</b> | <b>83</b>        | <b>106,578</b> |

**Investment Advisers and Representatives**

| <b>Investment Advisers</b>                   |                   |                     |              |
|--|-------------------|---------------------|--------------|
| <b>Activity</b>                              | <b>Registered</b> | <b>Notice Filed</b> | <b>Total</b> |
| Approved                                     | 1                 | 8                   | 9            |
| Applications Abandoned                       | 0                 | 0                   | 0            |
| Applications Denied                          | 0                 | 0                   | 0            |
| Registrations Terminated/Withdrawn           | 1                 | 12                  | 13           |
| Gain (+) /Loss (-) IA's between May & June   | 0                 | -4                  | -4           |
| <b>Total IA's Registered as of June 2018</b> | <b>94</b>         | <b>1,398</b>        | <b>1,492</b> |

| <b>Investment Adviser Representatives</b>     |                   |                     |              |
|---|-------------------|---------------------|--------------|
| <b>Activity</b>                               | <b>Registered</b> | <b>Notice Filed</b> | <b>Total</b> |
| Approved                                      | 1                 | 59                  | 60           |
| Denied  | 0                 | 0                   | 0            |
| Terminated                                    | 2                 | 54                  | 56           |
| Gain (+) /Loss (-) IAR's between May & June   | -1                | 5                   | 4            |
| <b>Total IAR's Registered as of June 2018</b> | <b>176</b>        | <b>4,153</b>        | <b>4,329</b> |