

### Securities Registrations

Filing/Security Type	Paper	Electronic	Total
New Mutual Fund Notice Filings	33	101	134
New UIT Notice Filings	84	22	106
Renewal Filings	93	1880	1973
Additions	36	317	353
Oversales	1	67	68
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	2	0	2
BDC	1	0	1
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	0
8-1108.02(2) Electronic	19	2
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	7	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 June 2019</b>	<b>27</b>	<b>2</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 2019</b>	<b>9</b>

### SAMP Act

### Business Opportunities

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

Business Opportunity renewal filing

-

Total filings as of June 2019

5

## Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of June 2019	20



## Bureau of Securities Monthly Report

June 2019

Page 2

### Broker-Dealers and Broker-Dealer Agents

#### Broker-Dealers

Activity	FINRA	NON-FINRA	Total
Approved	5	0	5
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	4	0	4
Gain (+) /Loss (-) BD's between May & June	1	0	1
<b>Total BD's Registered as of June 2019</b>	<b>1,306</b>	<b>27</b>	<b>1,333</b>

#### Broker-Dealer Agents

Activity	FINRA	NON-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	1848	0	1,848
Denied		0	0
Terminations	1,422	0	1,422
Gain (+) /Loss (-) BDA's between May & June	426	0	426
<b>Total BDA's Registered as of June 2019</b>	<b>109,789</b>	<b>76</b>	<b>109,865</b>

### Investment Advisers and Representatives

#### Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	0	11	11
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	1	54	55
Gain (+) /Loss (-) IA's between May & June	-1	-43	-44
<b>Total IA's Registered as of June 2019</b>	<b>98</b>	<b>1,456</b>	<b>1,554</b>

#### Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	1	39	40
Denied	0	0	0
Terminated	3	55	58
Gain (+) /Loss (-) IAR's between May & June	-2	-16	-18
<b>Total IAR's Registered as of June 2019</b>	<b>166</b>	<b>4,208</b>	<b>4,374</b>