

Securities Registrations

Filing/Security Type	Paper	Electronic	Total
New Mutual Fund Notice Filings	0	47	47
New UIT Notice Filings	126	0	126
Renewal Filings	29	1805	1834
Additions	6	430	436
Oversales	0	79	79
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	7	0	7
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	2	0
8-1108.02(2) Electronic	60	4
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	5	0
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	3	0
Total Exemptions Received as of January 2021	71	4

Loan Broker Act

Activity	Total
New Loan Broker filing	2
Loan Broker amendment filing	1
Loan Broker renewal filing	-
Total Loan Brokers Registered as of January 2021	14

SAMP Act

Business Opportunities

Activity	Total
New Business Opportunity filing	-
Business Opportunity amendment filing	-
Business Opportunity renewal filing	-
Total filings as of January 2021	3

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of January 2021	13

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Registrations Terminated/Withdrawn	12	0	12
Gain (+) /Loss (-) BD's between December and Janu	-7	0	-7
Total BD's Registered as of January 2021	1,262	30	1,292

Broker-Dealer Agents			
Activity	FINRA	NON-FINRA	Total
Approved	3944	0	3,944
Denied		0	0
Terminations	1,349	0	1,349
Gain (+) /Loss (-) BDA's between December and January	2,595	0	2,595
Total BDA's Registered as of January 2021	114,013	87	114,100

Investment Advisers and Representatives

Investment Advisers			
Activity	Registered	Notice Filed	Total
Approved	0	27	27
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	2	0	2
Gain (+) /Loss (-) IA's between December and Janu	-2	27	25
Total IA's Registered as of January 2021	95	1,562	1,657

Investment Adviser Representatives			
Activity	Registered	Notice Filed	Total
Approved	2	81	83
Denied	0	0	0
Terminated	2	63	65
Gain (+) /Loss (-) IAR's between December and Janu	0	18	18
Total IAR's Registered as of January 2021	161	4,259	4,420