

**Securities Registrations**

Filing/Security Type	Paper	Electronic	Total
New Notice Filings	137	154	291
Renewal Filings	222	1924	2146
Additions	6	425	431
Oversales	55	73	128
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	1	0	1
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	10	0
8-1108.02(2) Electronic	26	3
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	9	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)	1	0
Reg A tier 2		
<b>Total Exemptions Received as of December 2017</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 December 2017</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 December 2017</b>	<b>5</b>

**Franchise Exemption**

Activity	Total
<b>Franchise Exemption filings Received as of December 2017</b>	<b>13</b>

**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Registrations Terminated/Withdrawn	8	0	8
Gain (+) /Loss (-) BD's between November & Decem	-4	0	-4
<b>Total BD's Registered as of December 2017</b>	<b>1,320</b>	<b>29</b>	<b>1,349</b>

**Broker-Dealer Agents**

Activity	FINRA	NON-FINRA	Total
Approved	1,036	0	1,036
Denied	0	0	0
Terminations	5,633	0	5,633
Gain (+) /Loss (-) BDA's between November & Decem	-4,597	0	-4,597
<b>Total BDA's Registered as of December 2017</b>	<b>101,722</b>	<b>53</b>	<b>101,775</b>

**Investment Advisers and Representatives**

**Investment Advisers**

Activity	Registered	Notice Filed	Total
Approved	1	10	11
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	8	71	79
Gain (+) /Loss (-) IA's between November & Decem	-7	-61	-68
<b>Total IA's Registered as of December 2017</b>	<b>94</b>	<b>1,332</b>	<b>1,426</b>

**Investment Adviser Representatives**

Activity	Registered	Notice Filed	Total
Approved	2	44	46
Denied	0	0	0
Terminated	18	154	172
Gain (+) /Loss (-) IAR's between November & Decem	-16	-110	-126
<b>Total IAR's Registered as of December 2017</b>	<b>170</b>	<b>3,999</b>	<b>4,169</b>