

Securities Registrations

Filing/Security Type	Paper	Electronic	Total
New Notice Filings	161	65	226
Renewal Filings	211	1722	1933
Additions	9	361	370
Oversales	1	65	66
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	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	7	1
8-1108.02(2) Electronic	26	7
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	7	2
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)	1	0
8-1111(23)	0	0
Reg A tier 2		
Total Exemptions Received as of November 2017	41	10

Loan Broker Act

Activity	Total
New Loan Broker filing	-
Loan Broker amendment filing	-
Loan Broker renewal filing	1
Total Loan Brokers Registered as of November 2017	7

SAMP Act

Business Opportunities

Activity	Total
New Business Opportunity filing	-
Business Opportunity amendment filing	-
Business Opportunity renewal filing	1
Total filings as of November 2017	5

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of November 2017	13

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Registrations Terminated/Withdrawn	14	0	14
Gain (+) /Loss (-) BD's between October & November	-10	0	-10
Total BD's Registered as of November 2017	1,324	29	1,353

Broker-Dealer Agents

Activity	FINRA	NON-FINRA	Total
Approved	1873	0	1,873
Denied		0	0
Terminations	1,581	0	1,581
Gain (+) /Loss (-) BDA's between October & November	292	0	292
Total BDA's Registered as of November 2017	106,319	53	106,372

Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	2	5	7
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	3	5	8
Gain (+) /Loss (-) IA's between October & November	-1	0	-1
Total IA's Registered as of November 2017	101	1,393	1,494

Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	3	118	121
Denied	0	0	0
Terminated	4	102	106
Gain (+) /Loss (-) IAR's between October & November	-1	16	15
Total IAR's Registered as of November 2017	186	4,109	4,295