

Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	2	76	78
New UIT Notice Filings	107	0	107
Renewal Filings	36	1958	1994
Additions	23	553	576
Oversales	3	103	106
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	9	0	9
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	0	0
8-1108.02(2) Electronic	77	1
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	8	0
Total Exemptions Received as of December 2021	92	1

Loan Broker Act

Activity	Total
New Loan Broker filing	1
Loan Broker amendment filing	-
Loan Broker renewal filing	-
Total Loan Brokers Registered as of December 2021	16

SAMP Act

Business Opportunities

Activity	Total
New Business Opportunity filing	-
Business Opportunity amendment filing	-
Business Opportunity renewal filing	-
Total filings as of December 2021	4

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of December 2021	14

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Registrations Terminated/Withdrawn	8	0	8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
Total BD's Registered as of December 2021	1,301	29	1,330

Broker-Dealer Agents			
Activity	FINRA	NON-FINRA	Total
Approved	1,705	0	1,705
Denied		0	0
Terminations	6,255	0	6,255
Gain (+) /Loss (-) BDA's between November & Decem	-4,550	0	-4,550
Total BDA's Registered as of December 2021	119,676	87	119,763

Investment Advisers and Representatives

Investment Advisers			
Activity	Registered	Notice Filed	Total
Approved	0	17	17
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	3	84	87
Gain (+) /Loss (-) IA's between November & Decem	-3	-67	-70
Total IA's Registered as of December 2021	98	1,680	1,778

Investment Adviser Representatives			
Activity	Registered	Notice Filed	Total
Approved	0	49	49
Denied	0	0	0
Terminated	6	244	250
Gain (+) /Loss (-) IAR's between November & Decem	-6	-195	-201
Total IAR's Registered as of December 2021	153	4,321	4,474