



DEPARTMENT OF BANKING
AND FINANCE

November 2016

Securities Registrations

Filing/Security Type	Paper	Electronic	Total
Additional	24	315	339
Oversales	0	52	52
Renewal Filings	269	1864	2133
New Notice Filings	130	74	204
Common Stock	0	0	0
Limited Partnerships	1	0	1
Preferred Stock	0	0	0
REIT	0	0	0
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

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Registrations Terminated/Withdrawn	12	0	12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 Oct & Nov 2016	-7	0	-7
Total BD's Registered as of November 30, 2016	1,329	30	1,359

Broker-Dealer Agents

Activity	FINRA	NON-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	1,460	0	1,460
Denied	0	0	0
Terminations	1,460	0	1,460
Gain (+) /Loss (-) BDA's between Oct & Nov 2016	110	0	110
Total BDA's Registered as of November 30, 2016	104,751	32	104,783

Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	1	16	17
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	0	3	3
Gain (+) /Loss (-) IA's between Oct & Nov 2016	1	13	14
Total IA's Registered as of November 30, 2016	110	1,346	1,456

Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	2	54	56
Denied	0	0	0
Terminated	2	49	51
Gain (+) /Loss (-) IAR's between Oct & Nov 2016	0	5	5
Total IAR's Registered as of November 30, 2016	196	3,907	4,103

NEBRASKA

DEPARTMENT OF BANKING AND FINANCE

November 2016

Exemptions

Exemption Type	Number
8-1108.02(2) Paper	6
8-1108.02(2) Paper - Withdrawn	0
8-1108.02(2) EFD	16
8-1108.02(2) EFD - Withdrawn	2
8-1108.02(3)	0
8-1111(16)	0
8-1110(5)(b)	0
8-1111(20)	0
8-1110(8)	0
8-1111(9)	7
8-1111(9) Withdrawn	1
8-1111(11)(a)	0
8-1111(11)(b)	0
8-1111(14)	0
8-1111(15)	1
8-1111(17)	0
8-1111(23)	2
Total Exemptions as of November 30, 2016	35

Loan Broker Act

Activity	Total
New Loan Broker filing	0
Loan Broker amendment filing	0
Loan Broker renewal filing	1
Total Loan Brokers Registered as of November 30, 2016	9

SAMP Act

Business Opportunities

Activity	Total
New Business Opportunity filing	0
Business Opportunity amendment filing	0
Business Opportunity renewal filing	1
Total filings as of November 30, 2016	6

Franchise Exemption

Activity	Total
Franchise Exemption filing	10