



# NDB&F

September 2016

## NEBRASKA DEPARTMENT OF BANKING & FINANCE

### Securities Registrations

| Filing/Security Type             | Paper | Electronic | Total |
|----------------------------------|-------|------------|-------|
| Additional                       | 15    | 374        | 389   |
| Oversales                        | 1     | 49         | 50    |
| Renewal Filings                  | 211   | 2078       | 2289  |
| New Notice Filings               | 177   | 124        | 301   |
| Common Stock                     | 1     | 0          | 1     |
| Limited Partnerships             | 0     | 0          | 0     |
| Preferred Stock                  | 0     | 0          | 0     |
| REIT                             | 8     | 0          | 8     |
| 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  | 6            | 0         | 6            |
| Applications Abandoned                          | 0            | 0         | 0            |
| Applications Denied                             | 0            | 0         | 0            |
| Registrations Terminated/Withdrawn              | 11           | 1         | 12           |
| Gain (+) /Loss (-) BD's between Aug & Sep 2016  | -5           | -1        | -6           |
| <b>Total BD's Registered as of Sep 30, 2016</b> | <b>1,333</b> | <b>30</b> | <b>1,363</b> |

#### Broker-Dealer Agents

| Activity  | FINRA          | NON-FINRA | Total          |
|---|----------------|-----------|----------------|
| Approved (Includes Automatic, Manual, Temp. Queues) | 2,212          | 0         | 2,212          |
| Denied  | 0              | 0         | 0              |
| Terminations  | 1,570          | 20        | 1,590          |
| Gain (+) /Loss (-) BDA's between Aug & Sep 2016     | 642            | -20       | 622            |
| <b>Total BDA's Registered as of Sep 30, 2016</b>    | <b>104,252</b> | <b>32</b> | <b>104,284</b> |

### Investment Advisers and Representatives

#### Investment Advisers

| Activity  | Registered | Notice Filed | Total        |
|---|------------|--------------|--------------|
| Approved  | 0          | 5            | 5            |
| Applications Abandoned                          | 0          | 0            | 0            |
| Applications Denied                             | 0          | 0            | 0            |
| Registrations Terminated/Withdrawn              | 1          | 2            | 3            |
| Gain (+) /Loss (-) IA's between Aug & Sep 2016  | -1         | 3            | 2            |
| <b>Total IA's Registered as of Sep 30, 2016</b> | <b>109</b> | <b>1,329</b> | <b>1,438</b> |

#### Investment Adviser Representatives

| Activity   | Registered | Notice Filed | Total        |
|--|------------|--------------|--------------|
| Approved   | 1          | 56           | 57           |
| Denied   | 0          | 0            | 0            |
| Terminated                                       | 2          | 21           | 23           |
| Gain (+) /Loss (-) IAR's between Aug & Sep 2016  | -1         | 35           | 34           |
| <b>Total IAR's Registered as of Sep 30, 2016</b> | <b>196</b> | <b>3,886</b> | <b>4,082</b> |



# NDB&F

September 2016

## NEBRASKA DEPARTMENT OF BANKING & FINANCE

| <b>Exemptions</b>                           |               |
|---|---------------|
| <b>Exemption Type</b>                       | <b>Number</b> |
| 8-1108.02(2) Paper                          | 7             |
| 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                         | 0             |
| 8-1111(11)(a)                               | 0             |
| 8-1111(11)(b)                               | 0             |
| 8-1111(14)                                  | 0             |
| 8-1111(15)                                  | 0             |
| 8-1111(17)                                  | 0             |
| 8-1111(23)                                  | 0             |
| <b>Total Exemptions as of Sept 30, 2016</b> | <b>32</b>     |

| <b>Activity</b>  | <b>Total</b> |
|--|--------------|
| New Loan Broker filing                                   | 0            |
| Loan Broker amendment filing                             | 0            |
| Loan Broker renewal filing                               | 1            |
| <b>Total Loan Brokers Registered as of Sept 30, 2016</b> | <b>9</b>     |

### SAMP Act

| <b>Business Opportunities</b>            |              |
|--|--------------|
| <b>Activity</b>                          | <b>Total</b> |
| New Business Opportunity filing          | 0            |
| Business Opportunity amendment filing    | 0            |
| Business Opportunity renewal filing      | 1            |
| <b>Total filings as of Sept 30, 2016</b> | <b>6</b>     |

### Franchise Exemption

| <b>Activity</b>            | <b>Total</b> |
|----------------------------|--------------|
| Franchise Exemption filing | 11           |