

**Securities Registrations**

Filing/Security Type	Paper	Electronic	Total
New Notice Filings	144	106	250
Renewal Filings	219	1796	2015
Additions	21	299	320
Oversales	8	67	75
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	5	1
8-1108.02(2) Electronic	36	2
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	0	0
<b>Total Exemptions Received as of July 2018</b>	<b>48</b>	<b>3</b>

**Loan Broker Act**

Activity	Total
New Loan Broker filing	0
Loan Broker amendment filing	0
Loan Broker renewal filing	0
<b>Total Loan Brokers Registered as of July 2018</b>	<b>7</b>

**SAMP Act**

**Business Opportunities**

Activity	Total
New Business Opportunity filing	0
Business Opportunity amendment filing	0
Business Opportunity renewal filing	0
<b>Total filings as of July 2018</b>	<b>5</b>

**Franchise Exemption**

Activity	Total
<b>Franchise Exemption filings Received as of July 2018</b>	<b>19</b>

**Broker-Dealers and Broker-Dealer Agents**

<b>Broker-Dealers</b>			
<b>Activity</b>	<b>FINRA</b>	<b>NON-FINRA</b>	<b>Total</b>
Approved	6	0	6
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	9	0	9
Gain (+) /Loss (-) BD's between June & July 2017	-3	0	-3
<b>Total BD's Registered as of July 2018</b>	<b>1,323</b>	<b>29</b>	<b>1,352</b>

<b>Broker-Dealer Agents</b>			
<b>Activity</b>	<b>FINRA</b>	<b>NON-FINRA</b>	<b>Total</b>
Approved	1,955	0	1,955
Denied	0	0	0
Terminations	1,545	0	1,545
Gain (+) /Loss (-) BDA's between June & July 2017	410	0	410
<b>Total BDA's Registered as of July 2018</b>	<b>106,905</b>	<b>83</b>	<b>106,988</b>

**Investment Advisers and Representatives**

<b>Investment Advisers</b>			
<b>Activity</b>	<b>Registered</b>	<b>Notice Filed</b>	<b>Total</b>
Approved	0	19	19
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	0	1	1
Gain (+) /Loss (-) IA's between June & July 2017	0	18	18
<b>Total IA's Registered as of July 2018</b>	<b>94</b>	<b>1,416</b>	<b>0</b>

<b>Investment Adviser Representatives</b>			
<b>Activity</b>	<b>Registered</b>	<b>Notice Filed</b>	<b>Total</b>
Approved	2	67	69
Denied	0	0	0
Terminated	1	56	57
Gain (+) /Loss (-) IAR's between June & July 2017	1	11	12
<b>Total IAR's Registered as of July 2018</b>	<b>177</b>	<b>4,164</b>	<b>4,341</b>