

## Securities Registrations

Filing/Security Type	Paper	Electronic	Total
New Mutual Fund Notice Filings	4	56	60
New UIT Notice Filings	115	0	115
Renewal Filings	33	1906	1939
Additions	8	312	320
Oversales	1	63	64
Common Stock	0	0	0
Limited Partnerships	0	0	0
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	4	4

## Exemptions

Exemption Type	Filings	Withdrawals
8-1108.02(2) Paper	1	0
8-1108.02(2) Electronic	43	10
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	6	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	2	0
<b>Total Exemptions Received as of July 2020</b>	<b>52</b>	<b>10</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 2020</b>	<b>11</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 2020</b>	<b>4</b>

## Franchise Exemption

Activity	Total
<b>Franchise Exemption filings Received as of July 2020</b>	<b>13</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	4	0	4
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	2	0	2
Gain (+) /Loss (-) BD's between June & July 2020	2	0	2
<b>Total BD's Registered as of July 2020</b>	<b>1,290</b>	<b>29</b>	<b>1,319</b>

<b>Broker-Dealer Agents</b>			
<b>Activity</b>	<b>FINRA</b>	<b>NON-FINRA</b>	<b>Total</b>
Approved	1,550	0	1,550
Denied	0	0	0
Terminations	1,128	0	1,128
Gain (+) /Loss (-) BDA's between June & July 2020	422	0	422
<b>Total BDA's Registered as of July 2020</b>	<b>112,777</b>	<b>87</b>	<b>112,864</b>

**Investment Advisers and Representatives**

<b>Investment Advisers</b>			
<b>Activity</b>	<b>Registered</b>	<b>Notice Filed</b>	<b>Total</b>
Approved	1	14	15
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	0	7	7
Gain (+) /Loss (-) IA's between June & July 2020	1	7	8
<b>Total IA's Registered as of July 2020</b>	<b>102</b>	<b>1,558</b>	<b>1,660</b>

<b>Investment Adviser Representatives</b>			
<b>Activity</b>	<b>Registered</b>	<b>Notice Filed</b>	<b>Total</b>
Approved	0	20	20
Denied	0	0	0
Terminated	1	39	40
Gain (+) /Loss (-) IAR's between June & July 2020	-1	-19	-20
<b>Total IAR's Registered as of July 2020</b>	<b>169</b>	<b>4,314</b>	<b>4,483</b>