

Securities Registrations

| Filing/Security Type | Paper | Electronic | Total |
|----------------------------------|-------|------------|-------|
| New Mutual Fund Notice Filings | 8 | 67 | 75 |
| New UIT Notice Filings | 97 | 0 | 97 |
| Renewal Filings | 30 | 1906 | 1936 |
| Additions | 6 | 331 | 337 |
| Oversales | 0 | 60 | 60 |
| 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 | 0 | 0 |

Exemptions

| Exemption Type | Filings | Withdrawals |
|--|-----------|-------------|
| 8-1108.02(2) Paper | 1 | 0 |
| 8-1108.02(2) Electronic | 26 | 7 |
| 8-1110(5)(b) | 0 | 0 |
| 8-1110(8) | 0 | 0 |
| 8-1111(9) | 4 | 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 | 1 | 0 |
| Total Exemptions Received as of November 2020 | 32 | 7 |

Loan Broker Act

| Activity | Total |
|--|-----------|
| New Loan Broker filing | - |
| Loan Broker amendment filing | - |
| Loan Broker renewal filing | 0 |
| Total Loan Brokers Registered as of November 2020 | 13 |

SAMP Act

Business Opportunities

| Activity | Total |
|--|----------|
| New Business Opportunity filing | - |
| Business Opportunity amendment filing | - |
| Business Opportunity renewal filing | 0 |
| Total filings as of November 2020 | 4 |

Franchise Exemption

| Activity | Total |
|---|-----------|
| Franchise Exemption filings Received as of November 2020 | 10 |

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| Registrations Terminated/Withdrawn | 11 | 0 | 11 |
| Gain (+) /Loss (-) BD's between October & November | -7 | 0 | -7 |
| Total BD's Registered as of November 2020 | 1,277 | 30 | 1,307 |

| Broker-Dealer Agents | | | |
|---|----------------|------------------|----------------|
| Activity | FINRA | NON-FINRA | Total |
| Approved | 1706 | 0 | 1,706 |
| Denied | | 0 | 0 |
| Terminations | 1,529 | 0 | 1,529 |
| Gain (+) /Loss (-) BDA's between October & November | 177 | 0 | 177 |
| Total BDA's Registered as of November 2020 | 116,208 | 87 | 116,295 |

Investment Advisers and Representatives

| Investment Advisers | | | |
|--|-------------------|---------------------|--------------|
| Activity | Registered | Notice Filed | Total |
| Approved | 1 | 12 | 13 |
| Applications Abandoned | 0 | 0 | 0 |
| Applications Denied | 0 | 0 | 0 |
| Registrations Terminated/Withdrawn | 2 | 8 | 10 |
| Gain (+) /Loss (-) IA's between October & November | -1 | 4 | 3 |
| Total IA's Registered as of November 2020 | 102 | 1,601 | 1,703 |

| Investment Adviser Representatives | | | |
|---|-------------------|---------------------|--------------|
| Activity | Registered | Notice Filed | Total |
| Approved | 4 | 63 | 67 |
| Denied | 0 | 0 | 0 |
| Terminated | 7 | 76 | 83 |
| Gain (+) /Loss (-) IAR's between October & November | -3 | -13 | -16 |
| Total IAR's Registered as of November 2020 | 166 | 4,372 | 4,538 |