

## Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	6	52	58
New UIT Notice Filings	109	0	109
Renewal Filings	57	1920	1977
Additions	8	314	322
Oversales	0	51	0
Common Stock	3	0	3
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	3	0	3
BDC	1	0	1
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	70	10
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	5	0
8-1111(11)(a) and (b)	0	0
8-1111(14)	0	0
8-1111(15)	1	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	9	0
<b>Total Exemptions Received as of August 2021</b>	<b>86</b>	<b>10</b>

## Loan Broker Act

Activity	Total
New Loan Broker filing	0
Loan Broker amendment filing	0
Loan Broker renewal filing	1
<b>Total Loan Brokers Registered as of August 2021</b>	<b>13</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 August 2021</b>	<b>3</b>

## Franchise Exemption

Activity	Total
<b>Franchise Exemption filings Received as of August 2021</b>	<b>23</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	5	0	5
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	0	0	0
Gain (+) /Loss (-) BD's between July & August	5	0	5
<b>Total BD's Registered as of August 2021</b>	<b>1,302</b>	<b>29</b>	<b>1,331</b>

<b>Broker-Dealer Agents</b>			
<b>Activity</b>	<b>FINRA</b>	<b>NON-FINRA</b>	<b>Total</b>
Approved	2,945	0	2,945
Denied	0	0	0
Terminations	1,935	0	1,935
Gain (+) /Loss (-) BDA's between July & August	1,010	0	1,010
<b>Total BDA's Registered as of August 2021</b>	<b>119,964</b>	<b>87</b>	<b>120,051</b>

**Investment Advisers and Representatives**

<b>Investment Advisers</b>			
<b>Activity</b>	<b>Registered</b>	<b>Notice Filed</b>	<b>Total</b>
Approved	0	16	16
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	2	2	4
Gain (+) /Loss (-) IA's between July & August	-2	14	12
<b>Total IA's Registered as of August 2021</b>	<b>95</b>	<b>1,711</b>	<b>1,806</b>

<b>Investment Adviser Representatives</b>			
<b>Activity</b>	<b>Registered</b>	<b>Notice Filed</b>	<b>Total</b>
Approved	1	63	64
Denied	0	0	0
Terminated	2	53	55
Gain (+) /Loss (-) IAR's between July & August	-1	10	9
<b>Total IAR's Registered as of August 2021</b>	<b>152</b>	<b>4,334</b>	<b>4,486</b>