

## Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	6	63	69
New UIT Notice Filings	112	0	112
Renewal Filings	35	1736	1771
Additions	13	325	338
Oversales	4	43	47
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	3	0	3
BDC	3	0	3
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	64	3
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)	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	9	0
<b>Total Exemptions Received as of September 2021</b>	<b>79</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 September 2021</b>	<b>13</b>

## SAMP Act

## Business Opportunities

Activity	Total
New Business Opportunity filing	-
Business Opportunity amendment filing	-
Business Opportunity renewal filing	1
<b>Total filings as of September 2021</b>	<b>3</b>

## Franchise Exemption

Activity	Total
<b>Franchise Exemption filings Received as of September 2021</b>	<b>25</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	3	0	3
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	1	0	1
Gain (+) /Loss (-) BD's between August & September	2	0	2
<b>Total BD's Registered as of September 2021</b>	<b>1,304</b>	<b>29</b>	<b>1,333</b>

<b>Broker-Dealer Agents</b>			
<b>Activity</b>	<b>FINRA</b>	<b>NON-FINRA</b>	<b>Total</b>
Approved	3,176	0	3,176
Denied	0	0	0
Terminations	1,574	0	1,574
Gain (+) /Loss (-) BDA's between August & September	1,602	0	1,602
<b>Total BDA's Registered as of September 2021</b>	<b>121,566</b>	<b>87</b>	<b>121,653</b>

**Investment Advisers and Representatives**

<b>Investment Advisers</b>			
<b>Activity</b>	<b>Registered</b>	<b>Notice Filed</b>	<b>Total</b>
Approved	3	14	17
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	1	2	3
Gain (+) /Loss (-) IA's between August & September	2	12	14
<b>Total IA's Registered as of September 2021</b>	<b>97</b>	<b>1,723</b>	<b>1,820</b>

<b>Investment Adviser Representatives</b>			
<b>Activity</b>	<b>Registered</b>	<b>Notice Filed</b>	<b>Total</b>
Approved	3	173	176
Denied	0	0	0
Terminated	0	45	45
Gain (+) /Loss (-) IAR's between August & September	3	128	131
<b>Total IAR's Registered as of September 2021</b>	<b>155</b>	<b>4,462</b>	<b>4,617</b>