

# NEBRASKA

## DEPARTMENT OF BANKING AND FINANCE

October 2016

### Securities Registrations

Filing/Security Type	Paper	Electronic	Total
Additional	18	336	354
Oversales	8	61	69
Renewal Filings	223	1826	2049
New Notice Filings	119	130	249
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

### Broker-Dealers and Broker-Dealer Agents

#### Broker-Dealers

Activity	FINRA	NON-FINRA	Total
Approved	3	0	3
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	0	0	0
Gain (+) /Loss (-) BD's between Sep & Oct 2016	3	0	3
<b>Total BD's Registered as of October 31, 2016</b>	<b>1,336</b>	<b>30</b>	<b>1,366</b>

#### Broker-Dealer Agents

Activity	FINRA	NON-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	1,779	0	1,779
Denied	0	0	0
Terminations	1,390	0	1,390
Gain (+) /Loss (-) BDA's between Sep & Oct 2016	389	0	389
<b>Total BDA's Registered as of October 31, 2016</b>	<b>104,641</b>	<b>32</b>	<b>104,673</b>

### Investment Advisers and Representatives

#### Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	0	7	7
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	0	3	3
Gain (+) /Loss (-) IA's between Sep & Oct 2016	0	4	4
<b>Total IA's Registered as of October 31, 2016</b>	<b>109</b>	<b>1,333</b>	<b>1,442</b>

#### Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	0	42	42
Denied	0	0	0
Terminated	0	26	26
Gain (+) /Loss (-) IAR's between Sep & Oct 2016	0	16	16
<b>Total IAR's Registered as of October 31, 2016</b>	<b>196</b>	<b>3,902</b>	<b>4,098</b>

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### Exemptions

Exemption Type	Number
8-1108.02(2) Paper	10
8-1108.02(2) Paper - Withdrawn	0
8-1108.02(2) EFD	16
8-1108.02(2) EFD - Withdrawn	2
8-1108.02(3)	0
8-1111(16)	0
8-1110(5)(b)	0
8-1111(20)	0
8-1110(8)	0
8-1111(9)	6
8-1111(9) Withdrawn	0
8-1111(11)(a)	0
8-1111(11)(b)	0
8-1111(14)	0
8-1111(15)	0
8-1111(17)	0
8-1111(23)	0
<b>Total Exemptions as of October 31, 2016</b>	<b>34</b>

### Loan Broker Act

Activity	Total
New Loan Broker filing	0
Loan Broker amendment filing	0
Loan Broker renewal filing	2
<b>Total Loan Brokers Registered as of October 31, 2016</b>	<b>9</b>

### SAMP Act

#### Business Opportunities

Activity	Total
New Business Opportunity filing	0
Business Opportunity amendment filing	0
Business Opportunity renewal filing	1
<b>Total filings as of October 31, 2016</b>	<b>6</b>

#### Franchise Exemption

Activity	Total
Franchise Exemption filing	15