



# NDB&F

July 2016

## NEBRASKA DEPARTMENT OF BANKING & FINANCE

### Monthly Numbers Report

Securities Registrations			
Filing/Security Type	Paper	Electronic	Total
Additional	26	336	362
Oversales	0	52	52
Renewal Filings	251	1820	2071
New Notice Filings	172	126	298
Common Stock	3	0	3
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	8	0	8
BDC	0	0	0
Debt	0	0	0
Qualification	0	0	0
Other	3	0	3
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	7	0	7
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	0	0	0
Gain (+) /Loss (-) BD's between Jun & Jul 2016	7	0	7
<b>Total BD's Registered as of July 31, 2016</b>	<b>1,340</b>	<b>31</b>	<b>1,371</b>
Broker-Dealer Agents			
Activity	FINRA	NON-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	1,720	0	1,720
Denied	0	0	0
Terminations	1,637	0	1,637
Gain (+) /Loss (-) BDA's between Jun & Jul 2016	83	0	83
<b>Total BDA's Registered as of July 31, 2016</b>	<b>102,776</b>	<b>52</b>	<b>102,828</b>

Investment Advisers and Representatives			
Investment Advisers			
Activity	Registered	Notice Filed	Total
Approved	0	7	7
Applications Abandoned	0	0	0
Applications Denied	0	9	9
Registrations Terminated/Withdrawn	2	9	11
Gain (+) /Loss (-) IA's between Jun & Jul 2016	-2	-2	-4
<b>Total IA's Registered as of July 31, 2016</b>	<b>110</b>	<b>1,317</b>	<b>1,427</b>
Investment Adviser Representatives			
Activity	Registered	Notice Filed	Total
Approved	2	94	96
Denied	0	0	0
Terminated	4	88	92
Gain (+) /Loss (-) IAR's between Jun & Jul 2016	-2	6	4
<b>Total IAR's Registered as of July 31, 2016</b>	<b>195</b>	<b>3,844</b>	<b>4,039</b>



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<b>Exemptions</b>	
<b>Exemption Type</b>	<b>Number</b>
8-1108.02(2) Paper	19
8-1108.02(2) Paper - Withdrawn	0
8-1108.02(2) EFD	17
8-1108.02(2) EFD - Withdrawn	3
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)	5
8-1111(9) Withdrawn	1
8-1111(11)(a)	0
8-1111(11)(b)	0
8-1111(14)	0
8-1111(15)	1
8-1111(17)	0
8-1111(23)	0
<b>Total Exemptions Approved as of July 31, 2016</b>	<b>42</b>

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

<b>SAMP Act</b>	
<b>Business Opportunities</b>	
<b>Activity</b>	<b>Total</b>
New Business Opportunity Filing	0
<b>Total filings as of July 31, 2016</b>	<b>6</b>

<b>Franchise Exemption</b>	
<b>Activity</b>	<b>Total</b>
Franchise Exemption filing	16