

Securities Registrations

Filing/Security Type	Paper	Electronic	Total
New Notice Filings	100	114	214
Renewal Filings	223	1790	2013
Additions	29	737	766
Oversales	3	98	101
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	1	0	1
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	5	0
8-1108.02(2) Electronic	5	6
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		
Total Exemptions Received as of February 2018	14	6

Loan Broker Act

Activity	Total
New Loan Broker filing	-
Loan Broker amendment filing	-
Loan Broker renewal filing	2
Total Loan Brokers Registered as of February 2018	7

SAMP Act

Business Opportunities

Activity	Total
New Business Opportunity filing	-
Business Opportunity amendment filing	-
Business Opportunity renewal filing	1

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of February 2018	12



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Broker-Dealers and Broker-Dealer Agents

Broker-Dealers

Activity	FINRA	NON-FINRA	Total
Approved	5	0	5
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	5	0	5
Gain (+) /Loss (-) BD's between January & February	0	0	0
Total BD's Registered as of February 2018	1,309	28	1,337

Broker-Dealer Agents

Activity	FINRA	NON-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	1,958	0	1,958
Denied	0	0	0
Terminations	1,311	1	1,312
Gain (+) /Loss (-) BDA's between January & February	647	-1	646
Total BDA's Registered as of February 2018	104,865	82	104,947

Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	1	8	9
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	1	2	3
Gain (+) /Loss (-) IA's between January & February	0	6	6
Total IA's Registered as of February 2018	94	1,353	1,447

Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	3	96	99
Denied	0	0	0
Terminated	1	79	80
Gain (+) /Loss (-) IAR's between January & February	2	17	19
Total IAR's Registered as of February 2018	174	4,076	4,250