



DEPARTMENT OF BANKING
AND FINANCE

Bureau of Securities
Monthly Report
February 2019

Securities Registrations

Filing/Security Type	Paper	Electronic	Total
New Notice Filings	122	117	239
Renewal Filings	134	1921	2055
Additions	36	352	388
Oversales	1	64	65
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

Exemptions

Exemption Type	Filings	Withdrawals
8-1108.02(2) Paper	2	0
8-1108.02(2) Electronic	30	5
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	6	0
8-1111(11)(a) and (b)	0	0
8-1111(14)	1	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	0	0
Total Exemptions Received as of February 2019	39	5

Loan Broker Act

Activity	Total
New Loan Broker filing	-
Loan Broker amendment filing	-
Loan Broker renewal filing	1
Total Loan Brokers Registered as of February 2019	8

SAMP Act

Business Opportunities

Activity	Total
New Business Opportunity filing	-
Business Opportunity amendment filing	-
Business Opportunity renewal filing	1
Total filings as of February 2019	5

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of February 2019	15

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Registrations Terminated/Withdrawn	2	0	2
Gain (+) /Loss (-) BD's between January & February	3	0	3
Total BD's Registered as of February 2019	1,295	27	1,322

Broker-Dealer Agents			
Activity	FINRA	NON-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	2373	0	2,373
Denied		0	0
Terminations	905	0	905
Gain (+) /Loss (-) BDA's between January & February	1,468	0	1,468
Total BDA's Registered as of February 2019	107,869	75	107,944

Investment Advisers and Representatives

Investment Advisers			
Activity	Registered	Notice Filed	Total
Approved	0	15	15
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	5	4	9
Gain (+) /Loss (-) IA's between January & February	-5	11	6
Total IA's Registered as of February 2019	101	1,388	1,489

Investment Adviser Representatives			
Activity	Registered	Notice Filed	Total
Approved	0	54	54
Denied	0	0	0
Terminated	0	55	55
Gain (+) /Loss (-) IAR's between January & February	0	-1	-1
Total IAR's Registered as of February 2019	177	4,173	4,350