

Securities Registrations

Filing/Security Type	Paper	Electronic	Total
New Notice Filings	177	51	228
Renewal Filings	184	1652	1836
Additions	25	572	597
Oversales	1	177	178
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	3	0	3
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	8	0
8-1108.02(2) Electronic	35	5
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	9	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 January 2019	52	5

Loan Broker Act

Activity	Total
New Loan Broker filing	-
Loan Broker amendment filing	-
Loan Broker renewal filing	-
Total Loan Brokers Registered as of January 2019	9

SAMP Act

Business Opportunities

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

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of January 2019	8



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Broker-Dealers and Broker-Dealer Agents

Broker-Dealers

Activity	FINRA	NON-FINRA	Total
Approved	1	0	1
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	15	0	15
Gain (+) /Loss (-) BD's between December and January	-14	0	-14
Total BD's Registered as of January 2019	1,292	27	1,319

Broker-Dealer Agents

Activity	FINRA	NON-FINRA	Total
Approved	3446	1	3,447
Denied		0	0
Terminations	1,105	3	1,108
Gain (+) /Loss (-) BDA's between December and January	2,341	-2	2,339
Total BDA's Registered as of January 2019	106,401	75	106,476

Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	5	17	22
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	5	0	5
Gain (+) /Loss (-) IA's between December and January	0	17	17
Total IA's Registered as of January 2019	106	1,377	1,483

Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	6	111	117
Denied	0	0	0
Terminated	2	58	60
Gain (+) /Loss (-) IAR's between December and January	4	53	57
Total IAR's Registered as of January 2019	177	4,174	4,351