

Securities Registrations

Filing/Security Type	Paper	Electronic	Total
New Notice Filings	109	151	260
Renewal Filings	203	1811	2014
Additions	37	364	401
Oversales	4	62	66
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	1	0	1

Exemptions

Exemption Type	Filings	Withdrawals
8-1108.02(2) Paper	3	0
8-1108.02(2) Electronic	34	10
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	6	1
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 May 2018	43	11

Loan Broker Act

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

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 May 2018	23



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Broker-Dealers and Broker-Dealer Agents

Broker-Dealers

Activity	FINRA	NON-FINRA	Total
Approved	8	0	8
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	5	0	5
Gain (+) /Loss (-) BD's between April & May	3	0	3
Total BD's Registered as of May 2018	1,327	29	1,356

Broker-Dealer Agents

Activity	FINRA	NON-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	2166	0	2,166
Denied	0	0	0
Terminations	1,884	0	1,884
Gain (+) /Loss (-) BDA's between April & May	282	0	282
Total BDA's Registered as of May 2018	105,965	83	106,048

Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	2	9	11
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	1	1	2
Gain (+) /Loss (-) IA's between April & May	1	8	9
Total IA's Registered as of May 2018	94	1,402	1,496

Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	3	69	72
Denied	0	0	0
Terminated	1	41	42
Gain (+) /Loss (-) IAR's between April & May	2	28	30
Total IAR's Registered as of May 2018	177	4,148	4,325