

**Securities Registrations**

Filing/Security Type	Paper	Electronic	Total
New Mutual Fund Notice Filings	11	100	111
New UIT Notice Filings	89	0	89
Renewal Filings	47	1800	1847
Additions	6	423	429
Oversales	0	73	73
Common Stock	0	0	0
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	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	1	0
8-1108.02(2) Electronic	56	3
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	7	0
8-1111(11)(a) and (b)	0	0
8-1111(14)	0	0
8-1111(15)	1	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	7	0
<b>Total Exemptions Received as of December 2020</b>	<b>72</b>	<b>3</b>

**Loan Broker Act**

Activity	Total
New Loan Broker filing	-
Loan Broker amendment filing	-
Loan Broker renewal filing	1
<b>Total Loan Brokers Registered as of December 2020</b>	<b>13</b>

**SAMP Act**

**Business Opportunities**

Activity	Total
New Business Opportunity filing	-
Business Opportunity amendment filing	-
Business Opportunity renewal filing	-
<b>Total filings as of December 2020</b>	<b>3</b>

**Franchise Exemption**

Activity	Total
<b>Franchise Exemption filings Received as of December 2020</b>	<b>15</b>

**Broker-Dealers and Broker-Dealer Agents**

<b>Broker-Dealers</b>			
<b>Activity</b>	<b>FINRA</b>	<b>NON-FINRA</b>	<b>Total</b>
Approved	2	0	2
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	10	0	10
Gain (+) /Loss (-) BD's between November & Decem	-8	0	-8
<b>Total BD's Registered as of December 2020</b>	<b>1,269</b>	<b>30</b>	<b>1,299</b>

<b>Broker-Dealer Agents</b>			
<b>Activity</b>	<b>FINRA</b>	<b>NON-FINRA</b>	<b>Total</b>
Approved	1,139	0	1,139
Denied	0	0	0
Terminations	5,929	0	5,929
Gain (+) /Loss (-) BDA's between November & Decem	-4,790	0	-4,790
<b>Total BDA's Registered as of December 2020</b>	<b>111,418</b>	<b>87</b>	<b>111,505</b>

**Investment Advisers and Representatives**

<b>Investment Advisers</b>			
<b>Activity</b>	<b>Registered</b>	<b>Notice Filed</b>	<b>Total</b>
Approved	0	14	14
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	5	80	85
Gain (+) /Loss (-) IA's between November & Decem	-5	-66	-71
<b>Total IA's Registered as of December 2020</b>	<b>97</b>	<b>1,535</b>	<b>1,632</b>

<b>Investment Adviser Representatives</b>			
<b>Activity</b>	<b>Registered</b>	<b>Notice Filed</b>	<b>Total</b>
Approved	1	35	36
Denied	0	0	0
Terminated	6	166	172
Gain (+) /Loss (-) IAR's between November & Decem	-5	-131	-136
<b>Total IAR's Registered as of December 2020</b>	<b>161</b>	<b>4,241</b>	<b>4,402</b>