



DEPARTMENT OF BANKING  
AND FINANCE

April 2017

Securities Registrations

Filing/Security Type	Paper	Electronic	Total
Additional	14	355	369
Oversales	1	48	49
Renewal Filings	197	1739	1936
New Notice Filings	164	174	338
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	4	0	4
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

Broker-Dealers and Broker-Dealer Agents

Broker-Dealers

Activity	FINRA	NON-FINRA	Total
Approved	11	0	11
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	0	0	0
Gain (+) /Loss (-) BD's between March & April 2017	11	0	11
<b>Total BD's Registered as of April 30, 2017</b>	<b>1,323</b>	<b>29</b>	<b>1,352</b>

Broker-Dealer Agents

Activity	FINRA	NON-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	1,646	0	1,646
Denied	0	0	0
Terminations	1,197	0	1,197
Gain (+) /Loss (-) BDA's between March & April 2017	475	0	475
<b>Total BDA's Registered as of April 30, 2017</b>	<b>101,915</b>	<b>53</b>	<b>101,968</b>

Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	1	11	12
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	0	3	3
Gain (+) /Loss (-) IA's between March & April 2017	1	8	9
<b>Total IA's Registered as of April 30, 2017</b>	<b>107</b>	<b>1,339</b>	<b>1,446</b>

Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	3	127	130
Denied	0	0	0
Terminated	3	243	246
Gain (+) /Loss (-) IAR's between March & April 2017	0	48	48
<b>Total IAR's Registered as of April 30, 2017</b>	<b>188</b>	<b>4,007</b>	<b>4,195</b>



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**Exemptions**

Exemption Type	Number
8-1108.02(2) Paper	12
8-1108.02(2) Paper - Withdrawn	0
8-1108.02(2) EFD	30
8-1108.02(2) EFD - Withdrawn	12
8-1108.02(3)	0
8-1111(16)	0
8-1110(5)(b)	0
8-1111(20)	0
8-1110(8)	0
8-1111(9)	13
8-1111(9) Withdrawn	0
8-1111(11)(a)	0
8-1111(11)(b)	0
8-1111(14)	0
8-1111(15)	0
8-1111(17)	0
8-1111(23)	0
<b>Total Exemptions Approved as of April 30, 2017</b>	<b>55</b>

**Loan Broker Act**

Activity	Total
New Loan Broker filing	1
Loan Broker amendment filing	0
Loan Broker renewal filing	0
<b>Total Loan Brokers Registered as of April 30, 2017</b>	<b>9</b>

**SAMP Act**

**Business Opportunities**

Activity	Total
New Business Opportunity filing	0
Business Opportunity amendment filing	0
Business Opportunity renewal filing	0
<b>Total filings as of April 30, 2017</b>	<b>6</b>

**Franchise Exemption**

Activity	Total
Franchise Exemption filing	22