



DEPARTMENT OF BANKING
AND FINANCE

MAY 2017

Securities Registrations

Filing/Security Type	Paper	Electronic	Total
Additional	19	411	430
Oversales	0	55	55
Renewal Filings	258	1970	2228
New Notice Filings	128	123	251
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	11	0	11
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	9	0	9
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	4	0	4
Gain (+) /Loss (-) BD's between April and May 2017	5	0	5
Total BD's Registered as of May 30, 2017	1,328	29	1,357

Broker-Dealer Agents

Activity	FINRA	NON-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	2,209	0	2,209
Denied	0	0	0
Terminations	1,478	0	1,478
Gain (+) /Loss (-) BDA's between April and May 2017	748	0	748
Total BDA's Registered as of May 30, 2017	102,663	53	102,716

Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	0	9	9
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	4	3	7
Gain (+) /Loss (-) IA's between April and May 2017	-4	6	2
Total IA's Registered as of May 30, 2017	103	1,345	1,448

Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	3	66	69
Denied	0	0	0
Terminated	2	29	31
Gain (+) /Loss (-) IAR's between April and May 2017	1	37	38
Total IAR's Registered as of May 30, 2017	189	4,044	4,233

NEBRASKA

DEPARTMENT OF BANKING
AND FINANCE

MAY 2017

Exemptions

Exemption Type	Number
8-1108.02(2) Paper	12
8-1108.02(2) Paper - Withdrawn	1
8-1108.02(2) EFD	18
8-1108.02(2) EFD - Withdrawn	5
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)	2
8-1111(9) Withdrawn	0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
Total Exemptions Approved as of May 30, 2017	32

Loan Broker Act

Activity	Total
New Loan Broker filing	0
Loan Broker amendment filing	0
Loan Broker renewal filing	1
Total Loan Brokers Registered as of May 30, 2017	9

SAMP Act

Business Opportunities

Activity	Total
New Business Opportunity filing	0
Business Opportunity amendment filing	1
Business Opportunity renewal filing	0
Total filings as of May 30, 2017	6

Franchise Exemption

Activity	Total
Franchise Exemption filing	25