

**Securities Registrations**

Filing/Security Type	Paper	Electronic	Total
New Notice Filings	117	203	320
Renewal Filings	182	1904	2086
Additions	19	337	356
Oversales	2	41	43
Common Stock	4	0	4
Limited Partnerships	4	0	4
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	0	0	0

**Exemptions**

Exemption Type	Filings	Withdrawals
8-1108.02(2) Paper	4	0
8-1108.02(2) Electronic	24	3
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	14	0
8-1111(11)(a)	0	0
8-1111(11)(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
<b>Total Exemptions Received as of July 2017</b>	<b>42</b>	<b>3</b>

**Loan Broker Act**

Activity	Total
New Loan Broker filing	0
Loan Broker amendment filing	0
Loan Broker renewal filing	0
<b>Total Loan Brokers Registered as of July 2017</b>	<b>7</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 July 2017</b>	<b>5</b>

**Franchise Exemption**

Activity	Total
<b>Franchise Exemption filings Received as of July 2017</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	6	0	6
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	-7	0	-7
Gain (+) /Loss (-) BD's between June & July 2017	-1	0	-1
<b>Total BD's Registered as of July 2017</b>	<b>1,328</b>	<b>29</b>	<b>1,357</b>

<b>Broker-Dealer Agents</b>			
<b>Activity</b>	<b>FINRA</b>	<b>NON-FINRA</b>	<b>Total</b>
Approved (Includes Automatic, Manual, Temp. Queues)	1,639	0	1,639
Denied	0	0	0
Terminations	1,593	0	1,593
Gain (+) /Loss (-) BDA's between June & July 2017	71	0	71
<b>Total BDA's Registered as of July 2017</b>	<b>103,202</b>	<b>53</b>	<b>103,255</b>

**Investment Advisers and Representatives**

<b>Investment Advisers</b>			
<b>Activity</b>	<b>Registered</b>	<b>Notice Filed</b>	<b>Total</b>
Approved	2	12	14
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	-1	-12	-13
Gain (+) /Loss (-) IA's between June & July 2017	1	0	1
<b>Total IA's Registered as of July 2017</b>	<b>101</b>	<b>1,371</b>	<b>1,472</b>

<b>Investment Adviser Representatives</b>			
<b>Activity</b>	<b>Registered</b>	<b>Notice Filed</b>	<b>Total</b>
Approved	5	50	55
Denied	0	0	0
Terminated	-3	-48	-51
Gain (+) /Loss (-) IAR's between June & July 2017	2	2	4
<b>Total IAR's Registered as of July 2017</b>	<b>192</b>	<b>4,065</b>	<b>4,257</b>