

**Securities Registrations**

Filing/Security Type	Paper	Electronic	Total
New Notice Filings	125	67	192
Renewal Filings	327	1791	2118
Additions	14	345	359
Oversales	2	56	58
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	13	0	13
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	8	1
8-1108.02(2) Electronic	28	5
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	12	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 August 2017</b>	<b>48</b>	<b>6</b>

**Loan Broker Act**

Activity	Total
New Loan Broker filing	-
Loan Broker amendment filing	-
Loan Broker renewal filing	-
<b>Total Loan Brokers Registered as of August 2017</b>	<b>7</b>

**SAMP Act**

**Business Opportunities**

Activity	Total
New Business Opportunity filing	-
Business Opportunity amendment filing	-
Business Opportunity renewal filing	1
<b>Total filings as of August 2017</b>	<b>5</b>

**Franchise Exemption**

Activity	Total
<b>Franchise Exemption filings Received as of August 2017</b>	<b>17</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	8	0	8
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	-6	0	-6
Gain (+) /Loss (-) BD's between July & August	2	0	2
<b>Total BD's Registered as of August 2017</b>	<b>1,330</b>	<b>29</b>	<b>1,359</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)	2,600	0	2,600
Denied	0	0	0
Terminations	1,526	0	1,526
Gain (+) /Loss (-) BDA's between July & August	1,096	0	1,096
<b>Total BDA's Registered as of August 2017</b>	<b>104,298</b>	<b>53</b>	<b>104,351</b>

**Investment Advisers and Representatives**

<b>Investment Advisers</b>			
<b>Activity</b>	<b>Registered</b>	<b>Notice Filed</b>	<b>Total</b>
Approved	1	7	8
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	0	-5	-5
Gain (+) /Loss (-) IA's between July & August	1	2	3
<b>Total IA's Registered as of August 2017</b>	<b>103</b>	<b>1,373</b>	<b>1,476</b>

<b>Investment Adviser Representatives</b>			
<b>Activity</b>	<b>Registered</b>	<b>Notice Filed</b>	<b>Total</b>
Approved	1	74	75
Denied	0	0	0
Terminated	-3	-62	-65
Gain (+) /Loss (-) IAR's between July & August	-2	12	10
<b>Total IAR's Registered as of August 2017</b>	<b>190</b>	<b>4,075</b>	<b>4,265</b>