

Securities Registrations

Filing/Security Type	Paper	Electronic	Total
New Notice Filings	125	102	227
Renewal Filings	188	2008	2196
Additions	24	311	335
Oversales	0	40	40
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	3	0	3
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	2	0	2

Exemptions

Exemption Type	Filings	Withdrawals
8-1108.02(2) Paper	2	0
8-1108.02(2) Electronic	15	0
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	1	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
Total Exemptions Received as of September 2017	18	0

Loan Broker Act

Activity	Total
New Loan Broker filing	-
Loan Broker amendment filing	-
Loan Broker renewal filing	-
Total Loan Brokers Registered as of September 2017	7

SAMP Act

Business Opportunities

Activity	Total
New Business Opportunity filing	-
Business Opportunity amendment filing	-
Business Opportunity renewal filing	-
Total filings as of September 2017	5

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of September 2017	13

Broker-Dealers and Broker-Dealer Agents

Broker-Dealers			
Activity	FINRA	NON-FINRA	Total
Approved	6	0	6
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	1	0	1
Gain (+) /Loss (-) BD's between August & September	5	0	5
Total BD's Registered as of September 2017	1,335	29	1,364

Broker-Dealer Agents			
Activity	FINRA	NON-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	2,369	0	2,369
Denied		0	0
Terminations	1,246	0	1,246
Gain (+) /Loss (-) BDA's between August & September	1,136	0	1,136
Total BDA's Registered as of September 2017	105,434	53	105,487

Investment Advisers and Representatives

Investment Advisers			
Activity	Registered	Notice Filed	Total
Approved	1	18	19
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	-3	-2	-5
Gain (+) /Loss (-) IA's between August & September	-2	16	14
Total IA's Registered as of September 2017	101	1,387	1,488

Investment Adviser Representatives			
Activity	Registered	Notice Filed	Total
Approved	1	57	58
Denied	0	0	0
Terminated	0	-35	-35
Gain (+) /Loss (-) IAR's between August & September	1	22	23
Total IAR's Registered as of September 2017	191	4,085	4,276