

Securities Registrations

Filing/Security Type	Paper	Electronic	Total
New Notice Filings	128	110	238
Renewal Filings	211	1693	1904
Additions	27	403	430
Oversales	1	64	65
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	0	0	0
BDC	1	0	1
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	2	2
8-1108.02(2) Electronic	35	4
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	11	0
8-1111(11)(a) and (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
Reg A tier 2		
Total Exemptions Received as of April 2018	48	6

Loan Broker Act

Activity	Total
New Loan Broker filing	-
Loan Broker amendment filing	-
Loan Broker renewal filing	-
Total Loan Brokers Registered as of April 2018	7

SAMP Act

Business Opportunities

Activity	Total
New Business Opportunity filing	-
Business Opportunity amendment filing	-
Business Opportunity renewal filing	-

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of April 2018	28



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Broker-Dealers and Broker-Dealer Agents

Broker-Dealers

Activity	FINRA	NON-FINRA	Total
Approved	8	1	9
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	1	0	1
Gain (+) /Loss (-) BD's between March & April	7	1	8
Total BD's Registered as of April 2018	1,324	29	1,353

Broker-Dealer Agents

Activity	FINRA	NON-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	1925	1	1,926
Denied		0	0
Terminations	1,444	0	1,444
Gain (+) /Loss (-) BDA's between March & April	481	1	482
Total BDA's Registered as of April 2018	105,683	83	105,766

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Registrations Terminated/Withdrawn	0	3	3
Gain (+) /Loss (-) IA's between March & April	0	6	6
Total IA's Registered as of April 2018	93	1,394	1,487

Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	0	51	51
Denied	0	0	0
Terminated	2	43	45
Gain (+) /Loss (-) IAR's between March & April	-2	8	6
Total IAR's Registered as of April 2018	175	4,120	4,295