

Securities Registrations

Filing/Security Type	Paper	Electronic	Total
New Notice Filings	139	47	186
Renewal Filings	179	1865	2044
Additions	25	381	406
Oversales	1	76	77
Common Stock	0	0	0
Limited Partnerships	0	0	0
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	0	0
8-1108.02(2) Electronic	30	6
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	3	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	0	0
Total Exemptions Received as of April 2019	33	6

Loan Broker Act

Activity	Total
New Loan Broker filing	1
Loan Broker amendment filing	-
Loan Broker renewal filing	-
Total Loan Brokers Registered as of April 2019	9

SAMP Act

Business Opportunities

Activity	Total
New Business Opportunity filing	-
Business Opportunity amendment filing	-
Business Opportunity renewal filing	-
Total filings as of April 2019	5

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of April 2019	21

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Registrations Terminated/Withdrawn	0	0	0
Gain (+) /Loss (-) BD's between March & April	6	0	6
Total BD's Registered as of April 2019	1,309	27	1,336

Broker-Dealer Agents			
Activity	FINRA	NON-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	2016	0	2,016
Denied		0	0
Terminations	1,392	1	1,393
Gain (+) /Loss (-) BDA's between March & April	624	1	625
Total BDA's Registered as of April 2019	109,490	76	109,566

Investment Advisers and Representatives

Investment Advisers			
Activity	Registered	Notice Filed	Total
Approved	5	10	15
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	4	5	9
Gain (+) /Loss (-) IA's between March & April	1	5	6
Total IA's Registered as of April 2019	104	1,441	1,545

Investment Adviser Representatives			
Activity	Registered	Notice Filed	Total
Approved	1	70	71
Denied	0	0	0
Terminated	0	53	53
Gain (+) /Loss (-) IAR's between March & April	1	17	18
Total IAR's Registered as of April 2019	181	4,206	4,387