

Securities Registrations

Filing/Security Type	Paper	Electronic	Total
New Notice Filings	138	53	191
Renewal Filings	219	1953	2172
Additions	20	337	357
Oversales	0	56	56
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	1	0	1

Exemptions

Exemption Type	Filings	Withdrawals
8-1108.02(2) Paper	0	2
8-1108.02(2) Electronic	32	6
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	17	0
8-1111(11)(a) and (b)	0	0
8-1111(14)	0	0
8-1111(15)	1	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 August 2018	50	8

Loan Broker Act

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

SAMP Act

Business Opportunities

Activity	Total
New Business Opportunity filing	-
Business Opportunity amendment filing	-
Business Opportunity renewal filing	0
Total filings as of August 2018	5

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of August 2018	20

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Registrations Terminated/Withdrawn	2	0	2
Gain (+) /Loss (-) BD's between July & August	4	0	4
Total BD's Registered as of August 2018	1,327	29	1,356

Broker-Dealer Agents			
Activity	FINRA	NON-FINRA	Total
Approved	2,338	0	2,338
Denied	0	0	0
Terminations	1,448	1	1,449
Gain (+) /Loss (-) BDA's between July & August	890	1	891
Total BDA's Registered as of August 2018	107,795	84	107,879

Investment Advisers and Representatives

Investment Advisers			
Activity	Registered	Notice Filed	Total
Approved	4	10	14
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	2	3	5
Gain (+) /Loss (-) IA's between July & August	6	7	13
Total IA's Registered as of August 2018	100	1,423	1,523

Investment Adviser Representatives			
Activity	Registered	Notice Filed	Total
Approved	4	66	70
Denied	0	0	0
Terminated	2	32	34
Gain (+) /Loss (-) IAR's between July & August	2	34	36
Total IAR's Registered as of August 2018	179	4,198	4,377