

## Securities Registrations

Filing/Security Type	Paper	Electronic	Total
New Mutual Fund Notice Filings	2	90	92
New UIT Notice Filings	93	0	93
Renewal Filings	30	1863	1893
Additions	5	259	264
Oversales	0	44	0
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	1	0
8-1108.02(2) Electronic	30	8
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	5	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	1	0
<b>Total Exemptions Received as of August 2020</b>	<b>37</b>	<b>8</b>

## Loan Broker Act

Activity	Total
New Loan Broker filing	1
Loan Broker amendment filing	0
Loan Broker renewal filing	0
<b>Total Loan Brokers Registered as of August 2020</b>	<b>12</b>

## SAMP Act

## Business Opportunities

Activity	Total
New Business Opportunity filing	0
Business Opportunity amendment filing	1
Business Opportunity renewal filing	0
<b>Total filings as of August 2020</b>	<b>4</b>

## Franchise Exemption

Activity	Total
<b>Franchise Exemption filings Received as of August 2020</b>	<b>9</b>

## Broker-Dealers and Broker-Dealer Agents

Broker-Dealers			
Activity	FINRA	NON-FINRA	Total
Approved	4	0	4
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	5	0	5
Gain (+) /Loss (-) BD's between July & August	-1	0	-1
<b>Total BD's Registered as of August 2020</b>	<b>1,289</b>	<b>29</b>	<b>1,318</b>

Broker-Dealer Agents			
Activity	FINRA	NON-FINRA	Total
Approved	1,987	0	1,987
Denied	0	0	0
Terminations	1,186	0	1,186
Gain (+) /Loss (-) BDA's between July & August	801	0	801
<b>Total BDA's Registered as of August 2020</b>	<b>113,578</b>	<b>87</b>	<b>113,665</b>

## Investment Advisers and Representatives

Investment Advisers			
Activity	Registered	Notice Filed	Total
Approved	2	12	14
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	0	3	3
Gain (+) /Loss (-) IA's between July & August	2	9	11
<b>Total IA's Registered as of August 2020</b>	<b>104</b>	<b>1,567</b>	<b>1,671</b>

Investment Adviser Representatives			
Activity	Registered	Notice Filed	Total
Approved	6	69	75
Denied	0	0	0
Terminated	2	35	37
Gain (+) /Loss (-) IAR's between July & August	4	34	38
<b>Total IAR's Registered as of August 2020</b>	<b>173</b>	<b>4,348</b>	<b>4,521</b>