

### Securities Registrations

Filing/Security Type	Paper	Electronic	Total
New Notice Filings	169	49	218
Renewal Filings	336	2377	2713
Additions	29	440	469
Oversales	1	52	53
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	8	1
8-1108.02(2) Electronic	42	14
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	12	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		
<b>Total Exemptions Received as of March 2018</b>	<b>62</b>	<b>15</b>

### Loan Broker Act

Activity	Total
New Loan Broker filing	-
Loan Broker amendment filing	-
Loan Broker renewal filing	1
<b>Total Loan Brokers Registered as of March 2018</b>	<b>7</b>

### 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 March 2018	12



## Bureau of Securities Monthly Report

March 2017

Page 2

### Broker-Dealers and Broker-Dealer Agents

#### Broker-Dealers

Activity	FINRA	NON-FINRA	Total
Approved	9	0	9
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	1	0	1
Gain (+) /Loss (-) BD's between February & March	8	0	8
<b>Total BD's Registered as of March 2018</b>	<b>1,317</b>	<b>28</b>	<b>1,345</b>

#### Broker-Dealer Agents

Activity	FINRA	NON-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	1662	0	1,662
Denied	0	0	0
Terminations	1,325	0	1,325
Gain (+) /Loss (-) BDA's between February & March	337	0	337
<b>Total BDA's Registered as of March 2018</b>	<b>105,202</b>	<b>82</b>	<b>105,284</b>

### Investment Advisers and Representatives

#### Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	0	51	51
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	1	16	17
Gain (+) /Loss (-) IA's between February & March	-1	35	34
<b>Total IA's Registered as of March 2018</b>	<b>93</b>	<b>1,388</b>	<b>1,481</b>

#### Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	3	78	81
Denied	0	0	0
Terminated	0	42	42
Gain (+) /Loss (-) IAR's between February & March	3	36	39
<b>Total IAR's Registered as of March 2018</b>	<b>177</b>	<b>4,112</b>	<b>4,289</b>