

Securities Registrations

Filing/Security Type	Paper	Electronic	Total
New Notice Filings	126	69	195
Renewal Filings	261	2199	2460
Additions	35	339	374
Oversales	1	60	61
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	1
8-1108.02(2) Electronic	30	5
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	7	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	0	0
Total Exemptions Received as of March 2019	39	6

Loan Broker Act

Activity	Total
New Loan Broker filing	-
Loan Broker amendment filing	-
Loan Broker renewal filing	0
Total Loan Brokers Registered as of March 2019	8

SAMP Act

Business Opportunities

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

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of March 2019	16

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Registrations Terminated/Withdrawn	1	0	1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
Total BD's Registered as of March 2019	1,303	27	1,330

Broker-Dealer Agents			
Activity	FINRA	NON-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	2255	0	2,255
Denied		0	0
Terminations	1,258	0	1,258
Gain (+) /Loss (-) BDA's between February & March	997	0	997
Total BDA's Registered as of March 2019	108,866	75	108,941

Investment Advisers and Representatives

Investment Advisers			
Activity	Registered	Notice Filed	Total
Approved	2	52	54
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	0	4	4
Gain (+) /Loss (-) IA's between February & March	2	48	50
Total IA's Registered as of March 2019	103	1,436	1,539

Investment Adviser Representatives			
Activity	Registered	Notice Filed	Total
Approved	3	48	51
Denied	0	0	0
Terminated	0	32	32
Gain (+) /Loss (-) IAR's between February & March	3	16	19
Total IAR's Registered as of March 2019	180	4,189	4,369