

Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	12	84	96
New UIT Notice Filings	104	0	104
Renewal Filings	40	2014	2054
Additions	3	533	536
Oversales	3	71	74
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	0	0	0
BDC	3	0	3
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	42	13
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	21	0
Total Exemptions Received as of March 2021	68	13

Loan Broker Act

Activity	Total
New Loan Broker filing	1
Loan Broker amendment filing	-
Loan Broker renewal filing	0
Total Loan Brokers Registered as of March 2021	15

SAMP Act

Business Opportunities

Activity	Total
New Business Opportunity filing	-
Business Opportunity amendment filing	-
Business Opportunity renewal filing	-
Total filings as of March 2021	3

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of March 2021	26

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Registrations Terminated/Withdrawn	0	0	0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 February & March	6	0	6
Total BD's Registered as of March 2021	1,273	30	1,303

Broker-Dealer Agents			
Activity	FINRA	NON-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	2438	0	2,438
Denied	0	0	0
Terminations	1,588	0	1,588
Gain (+) /Loss (-) BDA's between February & March	850	0	850
Total BDA's Registered as of March 2021	115,991	87	116,078

Investment Advisers and Representatives

Investment Advisers			
Activity	Registered	Notice Filed	Total
Approved	0	67	67
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	1	8	9
Gain (+) /Loss (-) IA's between February & March	-1	59	58
Total IA's Registered as of March 2021	96	1,639	1,735

Investment Adviser Representatives			
Activity	Registered	Notice Filed	Total
Approved	2	82	84
Denied	0	0	0
Terminated	2	44	46
Gain (+) /Loss (-) IAR's between February & March	0	38	38
Total IAR's Registered as of March 2021	161	4,298	4,459