

Securities Registrations

Filing/Security Type	Paper	Electronic	Total
New Mutual Fund Notice Filings	2	70	72
New UIT Notice Filings	67	74	141
Renewal Filings	49	2047	2096
Additions	3	286	289
Oversales	1	67	68
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	0	0
8-1108.02(2) Electronic	27	5
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	4	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	3	0
Total Exemptions Received as of November 2019	35	5

Loan Broker Act

Activity	Total
New Loan Broker filing	-
Loan Broker amendment filing	-
Loan Broker renewal filing	1
Total Loan Brokers Registered as of November 2019	11

SAMP Act

Business Opportunities

Activity	Total
New Business Opportunity filing	-
Business Opportunity amendment filing	-
Business Opportunity renewal filing	0
Total filings as of November 2019	4

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of November 2019	10

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Registrations Terminated/Withdrawn	10	0	10
Gain (+) /Loss (-) BD's between October & Novembe	-6	0	-6
Total BD's Registered as of November 2019	1,310	27	1,337

Broker-Dealer Agents			
Activity	FINRA	NON-FINRA	Total
Approved	1355	0	1,355
Denied		0	0
Terminations	1,343	0	1,343
Gain (+) /Loss (-) BDA's between October & Novembe	12	0	12
Total BDA's Registered as of November 2019	112,533	77	112,610

Investment Advisers and Representatives

Investment Advisers			
Activity	Registered	Notice Filed	Total
Approved	0	14	14
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	0	2	2
Gain (+) /Loss (-) IA's between October & Novembe	0	12	12
Total IA's Registered as of November 2019	99	1,492	1,591

Investment Adviser Representatives			
Activity	Registered	Notice Filed	Total
Approved	5	59	64
Denied	0	0	0
Terminated	5	46	51
Gain (+) /Loss (-) IAR's between October & Novembe	0	13	13
Total IAR's Registered as of November 2019	165	4,310	4,475