

**Securities Registrations**

Filing/Security Type	Paper	Electronic	Total
New Notice Filings	156	207	363
Renewal Filings	249	1758	2007
Additions	23	381	404
Oversales	2	74	76
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	4	0	4

**Exemptions**

Exemption Type	Filings	Withdrawals
8-1108.02(2) Paper	1	0
8-1108.02(2) Electronic	22	7
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	0	0
<b>Total Exemptions Received as of October 2018</b>	<b>28</b>	<b>7</b>

**Loan Broker Act**

Activity	Total
New Loan Broker filing	1
Loan Broker amendment filing	-
Loan Broker renewal filing	1
<b>Total Loan Brokers Registered as of October 2018</b>	<b>9</b>

**SAMP Act**

**Business Opportunities**

Activity	Total
New Business Opportunity filing	-
Business Opportunity amendment filing	-
Business Opportunity renewal filing	2
<b>Total filings as of October 2018</b>	<b>5</b>

**Franchise Exemption**

Activity	Total
<b>Franchise Exemption filings Received as of October 2018</b>	<b>21</b>

**Broker-Dealers and Broker-Dealer Agents**

<b>Broker-Dealers</b>			
<b>Activity</b>	<b>FINRA</b>	<b>NON-FINRA</b>	<b>Total</b>
Approved	9	28	37
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	11	29	40
Gain (+) /Loss (-) BD's between September & October	-2	-1	-3
<b>Total BD's Registered as of October 2018</b>	<b>1,322</b>	<b>28</b>	<b>1,350</b>

<b>Broker-Dealer Agents</b>			
<b>Activity</b>	<b>FINRA</b>	<b>NON-FINRA</b>	<b>Total</b>
Approved	2182	0	2,182
Denied	0	0	0
Terminations	1,376	4	1,380
Gain (+) /Loss (-) BDA's between September & October	806	-4	802
<b>Total BDA's Registered as of October 2018</b>	<b>109,337</b>	<b>80</b>	<b>109,417</b>

**Investment Advisers and Representatives**

<b>Investment Advisers</b>			
<b>Activity</b>	<b>Registered</b>	<b>Notice Filed</b>	<b>Total</b>
Approved	1	6	7
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	1	6	7
Gain (+) /Loss (-) IA's between September & October	0	0	0
<b>Total IA's Registered as of October 2018</b>	<b>99</b>	<b>1,430</b>	<b>1,529</b>

<b>Investment Adviser Representatives</b>			
<b>Activity</b>	<b>Registered</b>	<b>Notice Filed</b>	<b>Total</b>
Approved	3	67	70
Denied	0	0	0
Terminated	4	34	38
Gain (+) /Loss (-) IAR's between September & October	-1	33	32
<b>Total IAR's Registered as of October 2018</b>	<b>178</b>	<b>4,233</b>	<b>4,411</b>