# Securities Registrations

<table>
<thead>
<tr>
<th>Filing/Security Type</th>
<th>Manual</th>
<th>Electronic</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>New Mutual Fund Notice Filings</td>
<td>1</td>
<td>86</td>
<td>87</td>
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<tr>
<td>New UIT Notice Filings</td>
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<tr>
<td>Renewal Filings</td>
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<td>1823</td>
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<tr>
<td>Additions</td>
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<td>315</td>
<td>328</td>
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<td>Oversales</td>
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<tr>
<td>Common Stock</td>
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</tr>
<tr>
<td>Limited Partnerships</td>
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<tr>
<td>Preferred Stock</td>
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<td>REIT</td>
<td>9</td>
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<td>BDC</td>
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<td>Debt</td>
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<td>Qualification</td>
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<td>Other</td>
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<td>Denials</td>
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<tr>
<td>Sales of Unregistered Securities</td>
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<tr>
<td>Withdrawals</td>
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# Exemptions

<table>
<thead>
<tr>
<th>Exemption Type</th>
<th>Filings</th>
<th>Withdrawals</th>
</tr>
</thead>
<tbody>
<tr>
<td>8-1108.02(2) Paper</td>
<td>1</td>
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<tr>
<td>8-1108.02(2) Electronic</td>
<td>62</td>
<td>4</td>
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<tr>
<td>8-1110(5)(b)</td>
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<td>8-1110(8)</td>
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<tr>
<td>8-1111(9)</td>
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<tr>
<td>8-1111(11)(a) and (b)</td>
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<td>8-1111(14)</td>
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<tr>
<td>8-1111(15)</td>
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</tr>
<tr>
<td>8-1111(16)</td>
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<tr>
<td>8-1111(20)</td>
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<tr>
<td>8-1111(21)</td>
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<tr>
<td>8-1111(23)</td>
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<tr>
<td>Reg A tier 2</td>
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</table>

Total Exemptions Received as of October 2021: 87 Filings, 4 Withdrawals

# Loan Broker Act

<table>
<thead>
<tr>
<th>Activity</th>
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<tbody>
<tr>
<td>New Loan Broker filing</td>
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<tr>
<td>Loan Broker amendment filing</td>
<td>-</td>
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<tr>
<td>Loan Broker renewal filing</td>
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</table>

Total Loan Brokers Registered as of October 2021: 14

# SAMP Act

<table>
<thead>
<tr>
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<th>Total</th>
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</thead>
<tbody>
<tr>
<td>New Business Opportunity filing</td>
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<tr>
<td>Business Opportunity amendment filing</td>
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<tr>
<td>Business Opportunity renewal filing</td>
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</table>

Total filings as of October 2021: 4

# Franchise Exemption

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<thead>
<tr>
<th>Activity</th>
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</thead>
<tbody>
<tr>
<td>Franchise Exemption filings Received as of October 2021</td>
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</table>
### Broker-Dealers and Broker-Dealer Agents

<table>
<thead>
<tr>
<th>Activity</th>
<th>FINRA</th>
<th>NON-FINRA</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Approved</td>
<td>6</td>
<td>0</td>
<td>6</td>
</tr>
<tr>
<td>Applications Abandoned</td>
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<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Applications Denied</td>
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<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Registrations Terminated/Withdrawn</td>
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<td>6</td>
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<tr>
<td>Gain (+) /Loss (-) BD's between September &amp; October</td>
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<td>0</td>
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<tr>
<td><strong>Total BD's Registered as of October 2021</strong></td>
<td>1,304</td>
<td>29</td>
<td>1,333</td>
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### Broker-Dealer Agents

<table>
<thead>
<tr>
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<th>FINRA</th>
<th>NON-FINRA</th>
<th>Total</th>
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<tbody>
<tr>
<td>Approved</td>
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<tr>
<td>Denied</td>
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<td>Terminations</td>
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<td><strong>Total BDA's Registered as of October 2021</strong></td>
<td>122,907</td>
<td>87</td>
<td>122,994</td>
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</table>

### Investment Advisers and Representatives

#### Investment Advisers

<table>
<thead>
<tr>
<th>Activity</th>
<th>Registered</th>
<th>Notice Filed</th>
<th>Total</th>
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</thead>
<tbody>
<tr>
<td>Approved</td>
<td>2</td>
<td>16</td>
<td>18</td>
</tr>
<tr>
<td>Applications Abandoned</td>
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<td>0</td>
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</tr>
<tr>
<td>Applications Denied</td>
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<td>0</td>
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</tr>
<tr>
<td>Registrations Terminated/Withdrawn</td>
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<td>4</td>
<td>4</td>
</tr>
<tr>
<td>Gain (+) /Loss (-) IA's between September &amp; October</td>
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<td><strong>Total IA's Registered as of October 2021</strong></td>
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#### Investment Adviser Representatives

<table>
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<th>Activity</th>
<th>Registered</th>
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<tbody>
<tr>
<td>Approved</td>
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<td>56</td>
<td>63</td>
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<tr>
<td>Denied</td>
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<tr>
<td>Terminated</td>
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<td>149</td>
<td>153</td>
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<td>-90</td>
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<td><strong>Total IAR's Registered as of October 2021</strong></td>
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