

## **Bureau of Securities** Monthly Report August 2017

Securiti		tions	
Filing/Security Type	Paper	Electronic	Total
New Notice Filings	125	67	192
Renewal Filings	327	1791	2118
Additions	14	345	359
Oversales	2	56	58
Common Stock	0	0	0
imited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	13	0	13
BDC	0	0	0
Debt	0	0	0
Qualification	0	0	Ö
Other	0	0	0
Denials	Ö	Ő	0
Sales of Unregistered Securities	Ö	0	Ö
Withdrawals	0	0	0
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E	xemptions		
Exemption Type		Filings	Withdrawals
3-1108.02(2) Paper		8	1
8-1108.02(2) Electronic		28	5
3-1110(5)(b)		0	0
3-1110(8) ´		0	0
J-1111(9)		12	0
-1111(11)(a) and (b)		0	0
3-1111(14)		0	0
3-111(15)		0	0
3-111(16)		0	0
3-1111(20)		0	0
3-1111(21)		0	0
3-111(23)		0	0
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Total Exemptions Received as of	August 2017	48	6
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Broker-Dealers and Broker-Dealer Agents Broker-Dealers				
Approved	8	0	8	
Applications Abandoned	0	0	0	
Applications Denied	0	0	0	
Registrations Terminated/Withdrawn	7	0	7	
Gain (+) /Loss (-) BD's between July & August	1	0	1	
Total BD's Registered as of August 2017	1,330	29	1,359	

AND FINANCE

Broker-Dealer Agents				
Activity		FINRA	NON-FINRA	Total
Approved		2,600	0	2,600
Denied		0	0	0
Terminations		1,504	0	1,504
	Gain (+) /Loss (-) BDA's between July & August	1,096	0	1,096
	Total BDA's Registered as of August 2017	104,298	53	104,351

Investment Advisers and Representatives					
Investment Advisers					
Activity	Registered	Notice Filed	Total		
Approved	1	7	8		
Applications Abandoned	0	0	0		
Applications Denied	0	0	0		
Registrations Terminated/Withdrawn	2	6	8		
Gain (+) /Loss (-) IA's between July & August	-1	1	0		
Total IA's Registered as of August 2017	101	1,372	1,473		

	Investment Adviser Represe	entatives		
Activity		Registered	Notice Filed	Total
Approved		1	74	75
Denied		0	0	0
Terminated		3	67	70
	Gain (+) /Loss (-) IAR's between July & August	-2	7	5
	Total IAR's Registered as of August 2017	190	4,072	4,262