

Securities Registrations

Filing/Security Type	Paper	Electronic	Total
New Notice Filings	117	203	320
Renewal Filings	182	1904	2086
Additions	19	337	356
Oversales	2	41	43
Common Stock	4	0	4
Limited Partnerships	4	0	4
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	4	0
8-1108.02(2) Electronic	24	3
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	14	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	1	0
Total Exemptions Received as of July 2017	43	3

Loan Broker Act

Activity	Total
New Loan Broker filing	0
Loan Broker amendment filing	0
Loan Broker renewal filing	0
Total Loan Brokers Registered as of July 2017	7

SAMP Act

Business Opportunities

Activity	Total
New Business Opportunity filing	0
Business Opportunity amendment filing	0
Business Opportunity renewal filing	0
Total filings as of July 2017	5

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of July 2017	15

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Registrations Terminated/Withdrawn	6	0	6
Gain (+) /Loss (-) BD's between June & July 2017	0	0	0
Total BD's Registered as of July 2017	1,329	29	1,358

Broker-Dealer Agents			
Activity	FINRA	NON-FINRA	Total
Approved	1,639	0	1,639
Denied	0	0	0
Terminations	1,568	0	1,568
Gain (+) /Loss (-) BDA's between June & July 2017	71	0	71
Total BDA's Registered as of July 2017	103,202	53	103,255

Investment Advisers and Representatives

Investment Advisers			
Activity	Registered	Notice Filed	Total
Approved	2	12	14
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	0	12	12
Gain (+) /Loss (-) IA's between June & July 2017	2	0	2
Total IA's Registered as of July 2017	102	1,371	1,473

Investment Adviser Representatives			
Activity	Registered	Notice Filed	Total
Approved	5	50	55
Denied	0	0	0
Terminated	3	48	51
Gain (+) /Loss (-) IAR's between June & July 2017	2	2	4
Total IAR's Registered as of July 2017	192	4,065	4,257