



DEPARTMENT OF BANKING
AND FINANCE

JUNE 2017

Securities Registrations

Filing/Security Type	Paper	Electronic	Total
Additional	20	332	352
Oversales	1	49	50
Renewal Filings	169	1,921	2090
New Notice Filings	230	208	438
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	5	0	5
BDC	1	0	1
Debt	0	0	0
Qualification	0	0	0
Other	0	0	0
Denials	0	0	0
Sales of Unregistered Securities	0	0	0
Withdrawals	2	0	2

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Registrations Terminated/Withdrawn	5	0	5
Gain (+) /Loss (-) BD's between May & June 2017	1	0	1
Total BD's Registered as of June 30, 2017	1,329	29	1,358

Broker-Dealer Agents

Activity	FINRA	NON-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	1,864	0	1,864
Denied	1,423	0	1,423
Terminations	19	0	19
Gain (+) /Loss (-) BDA's between May & June 2017	468	0	468
Total BDA's Registered as of June 30, 2017	103,131	53	103,184

Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	0	16	16
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	1	10	11
Gain (+) /Loss (-) IA's between May & June 2017	-1	26	25
Total IA's Registered as of June 30, 2017	100	1,371	1,471

Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	1	59	60
Denied	0	0	0
Terminated	2	40	42
Gain (+) /Loss (-) IAR's between May & June 2017	-1	19	18
Total IAR's Registered as of June 30, 2017	188	4,063	4,251



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Exemptions

Exemption Type	Number
8-1108.02(2) Paper	18
8-1108.02(2) Paper - Withdrawn	0
8-1108.02(2) EFD	34
8-1108.02(2) EFD - Withdrawn	13
8-1108.02(3)	0
8-1111(16)	0
8-1110(5)(b)	0
8-1111(20)	0
8-1110(8)	0
8-1111(9)	12
8-1111(9) Withdrawn	0
8-1111(11)(a)	0
8-1111(11)(b)	0
8-1111(14)	0
8-1111(15)	0
8-1111(17)	0
8-1111(23)	0
Total Exemptions Approved as of June 30, 2017	64

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 June 30, 2017	9

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 June 30, 2017	6

Franchise Exemption

Activity	Total
Franchise Exemption filing	12