



DEPARTMENT OF BANKING
AND FINANCE

January 2017

Securities Registrations

| Filing/Security Type | Paper | Electronic | Total |
|----------------------------------|-------|------------|-------|
| Additional | 26 | 487 | 513 |
| Oversales | 3 | 84 | 87 |
| Renewal Filings | 236 | 1781 | 2017 |
| New Notice Filings | 165 | 136 | 301 |
| Common Stock | 1 | 0 | 1 |
| Limited Partnerships | 0 | 0 | 0 |
| Preferred Stock | 0 | 0 | 0 |
| REIT | 3 | 0 | 3 |
| 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 |

Broker-Dealers and Broker-Dealer Agents

Broker-Dealers

| Activity | FINRA | NON-FINRA | Total |
|---|--------------|-----------|--------------|
| Approved | 9 | 0 | 9 |
| Applications Abandoned | 0 | 0 | 0 |
| Applications Denied | 0 | 0 | 0 |
| Registrations Terminated/Withdrawn | 24 | -1 | 23 |
| Gain (+) /Loss (-) BD's between Dec 2016 & Jan 2017 | -15 | 1 | -14 |
| Total BD's Registered as of January 31, 2017 | 1,305 | 31 | 1,336 |

Broker-Dealer Agents

| Activity | FINRA | NON-FINRA | Total |
|--|----------------|-----------|----------------|
| Approved (Includes Automatic, Manual, Temp. Queues) | 3,430 | 0 | 3,430 |
| Denied | 0 | 0 | 0 |
| Terminations | 1,202 | 32 | 1,234 |
| Gain (+) /Loss (-) BDA's between Dec 2016 & Jan 2017 | 2,228 | -32 | 2,196 |
| Total BDA's Registered as of January 31, 2017 | 100,033 | | 100,033 |

Investment Advisers and Representatives

Investment Advisers

| Activity | Registered | Notice Filed | Total |
|---|------------|--------------|--------------|
| Approved | 0 | 28 | 0 |
| Applications Abandoned | 0 | 0 | 0 |
| Applications Denied | 0 | 0 | 0 |
| Registrations Terminated/Withdrawn | 5 | 4 | 9 |
| Gain (+) /Loss (-) IA's between Dec 2016 & Jan 2017 | -5 | 24 | 19 |
| Total IA's Registered as of January 31, 2017 | 104 | 1,293 | 1,397 |

Investment Adviser Representatives

| Activity | Registered | Notice Filed | Total |
|--|------------|--------------|--------------|
| Approved | 1 | 94 | 95 |
| Denied | 0 | 0 | 0 |
| Terminated | 7 | 40 | 47 |
| Gain (+) /Loss (-) IAR's between Dec 2016 & Jan 2017 | -6 | 54 | 48 |
| Total IAR's Registered as of January 31, 2017 | 188 | 3,882 | 4,070 |



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Exemptions

| Exemption Type | Number |
|---|-----------|
| 8-1108.02(2) Paper | 8 |
| 8-1108.02(2) Paper - Withdrawn | 0 |
| 8-1108.02(2) EFD | 32 |
| 8-1108.02(2) EFD - Withdrawn | 3 |
| 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) | 10 |
| 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 January 31, 2017 | 50 |

Loan Broker Act

| Activity | Total |
|---|----------|
| New Loan Broker filing | 0 |
| Loan Broker amendment filing | 0 |
| Loan Broker renewal filing | 1 |
| Total Loan Brokers Registered as of January 31, 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 January 31, 2017 | 6 |

Franchise Exemption

| Activity | Total |
|----------------------------|-------|
| Franchise Exemption filing | 11 |