



DEPARTMENT OF BANKING
AND FINANCE

December 2016

Securities Registrations

Filing/Security Type	Paper	Electronic	Total
Additional	19	395	414
Oversales	2	65	67
Renewal Filings	249	1756	2005
New Notice Filings	145	215	360
Common Stock	1	0	1
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	7	0	7
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	0	0	0
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	9	0	9
Gain (+) /Loss (-) BD's between Nov & Dec 2016	-9	0	-9
Total BD's Registered as of December 31, 2016	1,320	30	1,350

Broker-Dealer Agents

Activity	FINRA	NON-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	839	0	839
Denied	0	0	0
Terminations	7,785	0	7,785
Gain (+) /Loss (-) BDA's between Nov & Dec 2016	-6,946	0	-6,946
Total BDA's Registered as of December 31, 2016	97,805	32	97,837

Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	1	3	4
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	2	80	82
Gain (+) /Loss (-) IA's between Nov & Dec 2016	-1	-77	-78
Total IA's Registered as of December 31, 2016	109	1,269	1,378

Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	1	40	41
Denied	0	0	0
Terminated	3	119	122
Gain (+) /Loss (-) IAR's between Nov & Dec 2016	-2	-79	-81
Total IAR's Registered as of December 31, 2016	194	3,828	4,022

NEBRASKA

DEPARTMENT OF BANKING AND FINANCE

December 2016

Exemptions

Exemption Type	Number
8-1108.02(2) Paper	16
8-1108.02(2) Paper - Withdrawn	1
8-1108.02(2) EFD	27
8-1108.02(2) EFD - Withdrawn	3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)	18
8-1111(9) Withdrawn	0
8-1111(11)(a) Withdrawn	1
8-1111(11)(b)	0
8-1111(14)	0
8-1111(15)	1
8-1111(17)	0
8-1111(23)	0
Total Exemptions as of December 31, 2016	62

Loan Broker Act

Activity	Total
New Loan Broker filing	0
Loan Broker amendment filing	0
Loan Broker renewal filing	2
Total Loan Brokers Registered as of December 31, 2016	9

SAMP Act

Business Opportunities

Activity	Total
New Business Opportunity filing	0
Business Opportunity amendment filing	1
Business Opportunity renewal filing	0
Total filings as of December 31, 2016	6

Franchise Exemption

Activity	Total
Franchise Exemption filing	15