

**Securities Registrations**

Filing/Security Type	Paper	Electronic	Total
New Mutual Fund Notice Filings	11	72	83
New UIT Notice Filings	138	22	160
Renewal Filings	126	1837	1963
Additions	28	330	358
Oversales	2	56	58
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	3	0	3
BDC	0	0	0
Debt	0	0	0
Qualification	1	0	1
Other	0	0	0
Denials	0	0	0
Sales of Unregistered Securities	0	0	0
Withdrawals	0	4	4

**Exemptions**

Exemption Type	Filings	Withdrawals
8-1108.02(2) Paper	2	1
8-1108.02(2) Electronic	42	0
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	3	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	0	0
<b>Total Exemptions Received as of July 2019</b>	<b>47</b>	<b>1</b>

**Loan Broker Act**

Activity	Total
New Loan Broker filing	1
Loan Broker amendment filing	0
Loan Broker renewal filing	0
<b>Total Loan Brokers Registered as of July 2019</b>	<b>10</b>

**SAMP Act**

**Business Opportunities**

Activity	Total
New Business Opportunity filing	0
Business Opportunity amendment filing	0

Business Opportunity renewal filing	0
<b>Total filings as of July 2019</b>	<b>5</b>

## Franchise Exemption

<b>Activity</b>	<b>Total</b>
Franchise Exemption filings Received as of July 2019	23



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### 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Registrations Terminated/Withdrawn	1	0	1
Gain (+) /Loss (-) BD's between June & July 2017	-1	0	-1
<b>Total BD's Registered as of July 2019</b>	<b>1,305</b>	<b>27</b>	<b>1,332</b>

#### Broker-Dealer Agents

Activity	FINRA	NON-FINRA	Total
Approved	2,080	0	2,080
Denied	0	0	0
Terminations	1,702	2	1,704
Gain (+) /Loss (-) BDA's between June & July 2017	378	2	380
<b>Total BDA's Registered as of July 2019</b>	<b>110,167</b>	<b>78</b>	<b>110,245</b>

### Investment Advisers and Representatives

#### Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	1	10	11
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	0	6	6
Gain (+) /Loss (-) IA's between June & July 2017	1	4	5
<b>Total IA's Registered as of July 2019</b>	<b>99</b>	<b>1,460</b>	<b>1,559</b>

#### Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	4	63	67
Denied	0	0	0
Terminated	0	31	31
Gain (+) /Loss (-) IAR's between June & July 2017	4	32	36
<b>Total IAR's Registered as of July 2019</b>	<b>170</b>	<b>4,240</b>	<b>4,410</b>