

Securities Registrations

Filing/Security Type	Paper	Electronic	Total
New Mutual Fund Notice Filings	2	109	111
New UIT Notice Filings	8	0	8
Renewal Filings	24	2039	2063
Additions	6	323	329
Oversales	1	66	67
Common Stock	3	0	3
Limited Partnerships	0	0	0
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	0	0
8-1108.02(2) Electronic	28	0
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	5	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 June 2020	34	0

Loan Broker Act

Activity	Total
New Loan Broker filing	1
Loan Broker amendment filing	-
Loan Broker renewal filing	1
Total Loan Brokers Registered as of June 2020	11

SAMP Act

Business Opportunities

Activity	Total
New Business Opportunity filing	-
Business Opportunity amendment filing	1
Business Opportunity renewal filing	-
Total filings as of June 2020	4

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of June 2020	17

Broker-Dealers and Broker-Dealer Agents

Broker-Dealers

Activity	FINRA	NON-FINRA	Total
Approved	2	0	2
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	7	0	7
Gain (+) /Loss (-) BD's between May & June	-5	0	-5
Total BD's Registered as of June 2020	1,288	29	1,317

Broker-Dealer Agents

Activity	FINRA	NON-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	2618	0	2,618
Denied		0	0
Terminations	1,670	0	1,670
Gain (+) /Loss (-) BDA's between May & June	948	0	948
Total BDA's Registered as of June 2020	112,355	87	112,442

Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	6	12	18
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	2	6	8
Gain (+) /Loss (-) IA's between May & June	4	6	10
Total IA's Registered as of June 2020	101	1,551	1,652

Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	13	45	58
Denied	0	0	0
Terminated	1	38	39
Gain (+) /Loss (-) IAR's between May & June	12	7	19
Total IAR's Registered as of June 2020	170	4,333	4,503