

**Securities Registrations**

Filing/Security Type	Paper	Electronic	Total
New Mutual Fund Notice Filings	37	46	83
New UIT Notice Filings	122	0	122
Renewal Filings	58	1717	1775
Additions	9	450	459
Oversales	2	98	100
Common Stock	0	0	0
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	4	22	26
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	1	0
8-1108.02(2) Electronic	32	16
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	14	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	3	0
<b>Total Exemptions Received as of February 2021</b>	<b>50</b>	<b>16</b>

**Loan Broker Act**

Activity	Total
New Loan Broker filing	1
Loan Broker amendment filing	-
Loan Broker renewal filing	-
<b>Total Loan Brokers Registered as of February 2021</b>	<b>14</b>

**SAMP Act**

**Business Opportunities**

Activity	Total
New Business Opportunity filing	1
Business Opportunity amendment filing	0
Business Opportunity renewal filing	1
<b>Total filings as of February 2021</b>	<b>3</b>

**Franchise Exemption**

Activity	Total
<b>Franchise Exemption filings Received as of February 2021</b>	<b>11</b>

**Broker-Dealers and Broker-Dealer Agents**

<b>Broker-Dealers</b>			
<b>Activity</b>	<b>FINRA</b>	<b>NON-FINRA</b>	<b>Total</b>
Approved	7	0	7
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	2	0	2
Gain (+) /Loss (-) BD's between January & February	5	0	5
<b>Total BD's Registered as of February 2021</b>	<b>1,267</b>	<b>30</b>	<b>1,297</b>

<b>Broker-Dealer Agents</b>			
<b>Activity</b>	<b>FINRA</b>	<b>NON-FINRA</b>	<b>Total</b>
Approved (Includes Automatic, Manual, Temp. Queues)	2151	0	2,151
Denied		0	0
Terminations	1,023	0	1,023
Gain (+) /Loss (-) BDA's between January & February	1,128	0	1,128
<b>Total BDA's Registered as of February 2021</b>	<b>115,141</b>	<b>87</b>	<b>115,228</b>

**Investment Advisers and Representatives**

<b>Investment Advisers</b>			
<b>Activity</b>	<b>Registered</b>	<b>Notice Filed</b>	<b>Total</b>
Approved	2	18	20
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	0	0	0
Gain (+) /Loss (-) IA's between January & February	2	18	20
<b>Total IA's Registered as of February 2021</b>	<b>97</b>	<b>1,580</b>	<b>1,677</b>

<b>Investment Adviser Representatives</b>			
<b>Activity</b>	<b>Registered</b>	<b>Notice Filed</b>	<b>Total</b>
Approved	1	45	46
Denied	0	0	0
Terminated	1	44	45
Gain (+) /Loss (-) IAR's between January & February	0	1	1
<b>Total IAR's Registered as of February 2021</b>	<b>161</b>	<b>4,260</b>	<b>4,421</b>