

Securities Registrations

Filing/Security Type	Paper	Electronic	Total
New Notice Filings	125	67	192
Renewal Filings	327	1791	2118
Additions	14	345	359
Oversales	2	56	58
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	13	0	13
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	8	1
8-1108.02(2) Electronic	28	5
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	12	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		
Total Exemptions Received as of August 2017	48	6

Loan Broker Act

Activity	Total
New Loan Broker filing	-
Loan Broker amendment filing	-
Loan Broker renewal filing	-
Total Loan Brokers Registered as of August 2017	7

SAMP Act

Business Opportunities

Activity	Total
New Business Opportunity filing	-
Business Opportunity amendment filing	-
Business Opportunity renewal filing	1
Total filings as of August 2017	5

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of August 2017	17

Broker-Dealers and Broker-Dealer Agents

Broker-Dealers			
Activity	FINRA	NON-FINRA	Total
Approved	8	0	8
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	7	0	7
Gain (+) /Loss (-) BD's between July & August	1	0	1
Total BD's Registered as of August 2017	1,330	29	1,359

Broker-Dealer Agents			
Activity	FINRA	NON-FINRA	Total
Approved	2,600	0	2,600
Denied	0	0	0
Terminations	1,504	0	1,504
Gain (+) /Loss (-) BDA's between July & August	1,096	0	1,096
Total BDA's Registered as of August 2017	104,298	53	104,351

Investment Advisers and Representatives

Investment Advisers			
Activity	Registered	Notice Filed	Total
Approved	1	7	8
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	2	6	8
Gain (+) /Loss (-) IA's between July & August	-1	1	0
Total IA's Registered as of August 2017	101	1,372	1,473

Investment Adviser Representatives			
Activity	Registered	Notice Filed	Total
Approved	1	74	75
Denied	0	0	0
Terminated	3	67	70
Gain (+) /Loss (-) IAR's between July & August	-2	7	5
Total IAR's Registered as of August 2017	190	4,072	4,262