

**Securities Registrations**

| Filing/Security Type             | Paper | Electronic | Total |
|----------------------------------|-------|------------|-------|
| New Notice Filings               | 164   | 74         | 238   |
| Renewal Filings                  | 248   | 1998       | 2246  |
| Additions                        | 14    | 367        | 381   |
| Oversales                        | 14    | 72         | 86    |
| 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                            | 0     | 0          | 0     |
| Denials                          | 0     | 0          | 0     |
| Sales of Unregistered Securities | 0     | 0          | 0     |
| Withdrawals                      | 1     | 0          | 1     |

**Exemptions**

| Exemption Type                                      | Filings   | Withdrawals |
|---|-----------|-------------|
| 8-1108.02(2) Paper                                  | 11        | 0           |
| 8-1108.02(2) Electronic                             | 31        | 3           |
| 8-1110(5)(b)  | 0         | 0           |
| 8-1110(8)   | 0         | 0           |
| 8-1111(9)   | 8         | 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 October 2017</b> | <b>53</b> | <b>3</b>    |

**Loan Broker Act**

| Activity  | Total    |
|---|----------|
| New Loan Broker filing                                  | -        |
| Loan Broker amendment filing                            | -        |
| Loan Broker renewal filing                              | 2        |
| <b>Total Loan Brokers Registered as of October 2017</b> | <b>7</b> |

**SAMP Act**

**Business Opportunities**

| Activity                                | Total    |
|---|----------|
| New Business Opportunity filing         | -        |
| Business Opportunity amendment filing   | -        |
| Business Opportunity renewal filing     | 1        |
| <b>Total filings as of October 2017</b> | <b>5</b> |

**Franchise Exemption**

| Activity   | Total     |
|--|-----------|
| <b>Franchise Exemption filings Received as of October 2017</b> | <b>13</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  | 5            | 0                | 5            |
| Applications Abandoned                              | 0            | 0                | 0            |
| Applications Denied                                 | 0            | 0                | 0            |
| Registrations Terminated/Withdrawn                  | 6            | 0                | 6            |
| Gain (+) /Loss (-) BD's between September & October | -1           | 0                | -1           |
| <b>Total BD's Registered as of October 2017</b>     | <b>1,334</b> | <b>29</b>        | <b>1,363</b> |

| <b>Broker-Dealer Agents</b>                          |                |                  |                |
|--|----------------|------------------|----------------|
| <b>Activity</b>                                      | <b>FINRA</b>   | <b>NON-FINRA</b> | <b>Total</b>   |
| Approved   | 1,920          | 0                | 1,920          |
| Denied   | 0              | 0                | 0              |
| Terminations   | 1,327          | 0                | 1,327          |
| Gain (+) /Loss (-) BDA's between September & October | 593            | 0                | 593            |
| <b>Total BDA's Registered as of October 2017</b>     | <b>106,027</b> | <b>53</b>        | <b>106,080</b> |

**Investment Advisers and Representatives**

| <b>Investment Advisers</b>                          |                   |                     |              |
|---|-------------------|---------------------|--------------|
| <b>Activity</b>                                     | <b>Registered</b> | <b>Notice Filed</b> | <b>Total</b> |
| Approved  | 0                 | 8                   | 8            |
| Applications Abandoned                              | 0                 | 0                   | 0            |
| Applications Denied                                 | 0                 | 0                   | 0            |
| Registrations Terminated/Withdrawn                  | 0                 | 2                   | 2            |
| Gain (+) /Loss (-) IA's between September & October | 0                 | 6                   | 6            |
| <b>Total IA's Registered as of October 2017</b>     | <b>102</b>        | <b>1,393</b>        | <b>1,495</b> |

| <b>Investment Adviser Representatives</b>            |                   |                     |              |
|--|-------------------|---------------------|--------------|
| <b>Activity</b>                                      | <b>Registered</b> | <b>Notice Filed</b> | <b>Total</b> |
| Approved   | 1                 | 86                  | 87           |
| Denied   | 0                 | 0                   | 0            |
| Terminated   | 5                 | 78                  | 83           |
| Gain (+) /Loss (-) IAR's between September & October | -4                | 8                   | 4            |
| <b>Total IAR's Registered as of October 2017</b>     | <b>187</b>        | <b>4,093</b>        | <b>4,280</b> |