

Securities Registrations

Filing/Security Type	Paper	Electronic	Total
New Mutual Fund Notice Filings	10	39	49
New UIT Notice Filings	92	24	116
Renewal Filings	43	2311	2354
Additions	6	308	314
Oversales	0	41	41
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	2	0
8-1108.02(2) Electronic	22	9
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	0	0
Total Exemptions Received as of September 2019	29	9

Loan Broker Act

Activity	Total
New Loan Broker filing	1
Loan Broker amendment filing	-
Loan Broker renewal filing	-
Total Loan Brokers Registered as of September 2019	11

SAMP Act

Business Opportunities

Activity	Total
New Business Opportunity filing	-
Business Opportunity amendment filing	-

Business Opportunity renewal filing	-
Total filings as of September 2019	4

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of September 2019	21



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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Registrations Terminated/Withdrawn	0	0	0
Gain (+) /Loss (-) BD's between August & September	8	0	8
Total BD's Registered as of September 2019	1,318	27	1,345

Broker-Dealer Agents

Activity	FINRA	NON-FINRA	Total
Approved	2,362	0	2,362
Denied	0	0	0
Terminations	1,461	0	1,461
Gain (+) /Loss (-) BDA's between August & September	901	0	901
Total BDA's Registered as of September 2019	111,876	77	111,953

Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	3	13	16
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	1	3	4
Gain (+) /Loss (-) IA's between August & September	2	10	12
Total IA's Registered as of September 2019	100	1,470	1,570

Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	1	51	52
Denied	0	0	0
Terminated	1	44	45
Gain (+) /Loss (-) IAR's between August & September	0	7	7
Total IAR's Registered as of September 2019	168	4,285	4,453