



DEPARTMENT OF BANKING  
AND FINANCE

February 2017

**Securities Registrations**

Filing/Security Type	Paper	Electronic	Total
Additional	29	397	426
Oversales	1	55	56
Renewal Filings	232	1626	1858
New Notice Filings	141	353	494
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	3	0	3
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

**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Registrations Terminated/Withdrawn	1	0	1
Gain (+) /Loss (-) BD's between Jan & Feb 2017	7	0	7
<b>Total BD's Registered as of February 28, 2017</b>	<b>1,312</b>	<b>31</b>	<b>1,343</b>

**Broker-Dealer Agents**

Activity	FINRA	NON-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	1,694	0	1,694
Denied	0	0	0
Terminations	965	0	965
Gain (+) /Loss (-) BDA's between Jan & Feb 2017	729	0	729
<b>Total BDA's Registered as of February 28, 2017</b>	<b>100,762</b>	<b>0</b>	<b>100,762</b>

**Investment Advisers and Representatives**

**Investment Advisers**

Activity	Registered	Notice Filed	Total
Approved	0	9	9
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	0	0	0
Gain (+) /Loss (-) IA's between Jan & Feb 2017	0	9	9
<b>Total IA's Registered as of February 28, 2017</b>	<b>104</b>	<b>1,302</b>	<b>1,406</b>

**Investment Adviser Representatives**

Activity	Registered	Notice Filed	Total
Approved	1	60	61
Denied	0	0	0
Terminated	1	29	30
Gain (+) /Loss (-) IAR's between Jan & Feb 2017	0	31	31
<b>Total IAR's Registered as of February 28, 2017</b>	<b>188</b>	<b>3,913</b>	<b>4,101</b>



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**Exemptions**

Exemption Type	Number
8-1108.02(2) Paper	7
8-1108.02(2) Paper - Withdrawn	0
8-1108.02(2) EFD	16
8-1108.02(2) EFD - Withdrawn	1
8-1108.02(3)	0
8-1111(16)	0
8-1110(5)(b)	0
8-1111(20)	0
8-1110(8)	0
8-1111(9)	8
8-1111(9) Withdrawn	1
8-1111(11)(a)	0
8-1111(11)(b)	0
8-1111(14)	0
8-1111(15)	0
8-1111(17)	0
8-1111(23)	0
<b>Total Exemptions Approved as of February 28, 2017</b>	<b>31</b>

**Loan Broker Act**

Activity	Total
New Loan Broker filing	0
Loan Broker amendment filing	0
Loan Broker renewal filing	0
<b>Total Loan Brokers Registered as of February 28, 2017</b>	<b>9</b>

**SAMP Act**

**Business Opportunities**

Activity	Total
New Business Opportunity filing	0
Business Opportunity amendment filing	2
Business Opportunity renewal filing	0
<b>Total filings as of February 28, 2017</b>	<b>6</b>

**Franchise Exemption**

Activity	Total
Franchise Exemption filing	12