

### Securities Registrations

Filing/Security Type	Paper	Electronic	Total
New Mutual Fund Notice Filings	8	61	69
New UIT Notice Filings	95	16	111
Renewal Filings	155	1937	2092
Additions	18	378	396
Oversales	0	65	65
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	2	0	2
BDC	1	0	1
Debt	0	0	0
Qualification	0	0	0
Other	0	0	0
Denials	0	0	0
Sales of Unregistered Securities	0	0	0
Withdrawals	4	0	4

### Exemptions

Exemption Type	Filings	Withdrawals
8-1108.02(2) Paper	3	0
8-1108.02(2) Electronic	37	8
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	8	1
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
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<b>Total Exemptions Received as of August 2019</b>	<b>48</b>	<b>9</b>

### Loan Broker Act

Activity	Total
New Loan Broker filing	-
Loan Broker amendment filing	-
Loan Broker renewal filing	1
<b>Total Loan Brokers Registered as of August 2019</b>	<b>10</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 August 2019</b>	<b>4</b>

## Franchise Exemption

<b>Activity</b>	<b>Total</b>
Franchise Exemption filings Received as of August 2019	11



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### Broker-Dealers and Broker-Dealer Agents

#### Broker-Dealers

Activity	FINRA	NON-FINRA	Total
Approved	11	0	11
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	6	0	6
Gain (+) /Loss (-) BD's between July & August	5	0	5
<b>Total BD's Registered as of August 2019</b>	<b>1,310</b>	<b>27</b>	<b>1,337</b>

#### Broker-Dealer Agents

Activity	FINRA	NON-FINRA	Total
Approved	2,213	0	2,213
Denied	0	0	0
Terminations	1,405	1	1,406
Gain (+) /Loss (-) BDA's between July & August	808	-1	807
<b>Total BDA's Registered as of August 2019</b>	<b>110,975</b>	<b>77</b>	<b>111,052</b>

### Investment Advisers and Representatives

#### Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	0	4	4
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	1	4	5
Gain (+) /Loss (-) IA's between July & August	-1	0	-1
<b>Total IA's Registered as of August 2019</b>	<b>98</b>	<b>1,460</b>	<b>1,558</b>

#### Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	0	71	71
Denied	0	0	0
Terminated	2	33	35
Gain (+) /Loss (-) IAR's between July & August	-2	38	36
<b>Total IAR's Registered as of August 2019</b>	<b>168</b>	<b>4,278</b>	<b>4,446</b>