



**DEPARTMENT OF BANKING
AND FINANCE**

**Bureau of Securities
Monthly Report
May 2019**

Securities Registrations

Filing/Security Type	Paper	Electronic	Total
New Notice Filings	114	455	569
Renewal Filings	119	1856	1975
Additions	36	393	429
Oversales	2	76	78
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	0	0	0

Exemptions

Exemption Type	Filings	Withdrawals
8-1108.02(2) Paper	2	1
8-1108.02(2) Electronic	37	8
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	7	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 May 2019	46	9

Loan Broker Act

Activity	Total
New Loan Broker filing	-
Loan Broker amendment filing	-
Loan Broker renewal filing	-
Total Loan Brokers Registered as of May 2019	31

SAMP Act

Business Opportunities

Activity	Total
New Business Opportunity filing	-
Business Opportunity amendment filing	-
Business Opportunity renewal filing	-
Total filings as of May 2019	9

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of May 2019	0

Broker-Dealers and Broker-Dealer Agents

Broker-Dealers			
Activity	FINRA	NON-FINRA	Total
Approved	2	0	2
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	6	0	6
Gain (+) /Loss (-) BD's between April & May	-4	0	-4
Total BD's Registered as of May 2019	1,305	27	1,332

Broker-Dealer Agents			
Activity	FINRA	NON-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	2926	0	2,926
Denied		0	0
Terminations	3,053	0	3,053
Gain (+) /Loss (-) BDA's between April & May	-127	0	-127
Total BDA's Registered as of May 2019	109,363	76	109,439

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Registrations Terminated/Withdrawn	5	49	54
Gain (+) /Loss (-) IA's between April & May	-5	58	53
Total IA's Registered as of May 2019	99	1,499	1,598

Investment Adviser Representatives			
Activity	Registered	Notice Filed	Total
Approved	4	60	64
Denied	0	0	0
Terminated	17	42	59
Gain (+) /Loss (-) IAR's between April & May	-13	18	5
Total IAR's Registered as of May 2019	168	4,224	4,392