

**Securities Registrations**

Filing/Security Type	Paper	Electronic	Total
New Notice Filings	112	72	184
Renewal Filings	182	2104	2286
Additions	11	350	361
Oversales	2	87	89
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	1	0	1
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	3	2
8-1108.02(2) Electronic	38	1
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	6	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
<b>Total Exemptions Received as of November 2018</b>	<b>47</b>	<b>3</b>

**Loan Broker Act**

Activity	Total
New Loan Broker filing	-
Loan Broker amendment filing	-
Loan Broker renewal filing	0
<b>Total Loan Brokers Registered as of November 2018</b>	<b>9</b>

**SAMP Act**

**Business Opportunities**

Activity	Total
New Business Opportunity filing	-
Business Opportunity amendment filing	-
Business Opportunity renewal filing	0
<b>Total filings as of November 2018</b>	<b>5</b>

**Franchise Exemption**

Activity	Total
<b>Franchise Exemption filings Received as of November 2018</b>	<b>21</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	2	0	2
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	0	1	1
Gain (+) /Loss (-) BD's between October & Novembe	2	-1	1
<b>Total BD's Registered as of November 2018</b>	<b>1,324</b>	<b>27</b>	<b>1,351</b>

<b>Broker-Dealer Agents</b>			
<b>Activity</b>	<b>FINRA</b>	<b>NON-FINRA</b>	<b>Total</b>
Approved	1685	0	1,685
Denied		0	0
Terminations	1,440	2	1,442
Gain (+) /Loss (-) BDA's between October & Novembe	245	-2	243
<b>Total BDA's Registered as of November 2018</b>	<b>109,582</b>	<b>78</b>	<b>109,660</b>

**Investment Advisers and Representatives**

<b>Investment Advisers</b>			
<b>Activity</b>	<b>Registered</b>	<b>Notice Filed</b>	<b>Total</b>
Approved	3	12	15
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	1	9	10
Gain (+) /Loss (-) IA's between October & Novembe	2	3	5
<b>Total IA's Registered as of November 2018</b>	<b>101</b>	<b>1,433</b>	<b>1,534</b>

<b>Investment Adviser Representatives</b>			
<b>Activity</b>	<b>Registered</b>	<b>Notice Filed</b>	<b>Total</b>
Approved	2	74	76
Denied	0	0	0
Terminated	1	57	58
Gain (+) /Loss (-) IAR's between October & Novembe	1	17	18
<b>Total IAR's Registered as of November 2018</b>	<b>179</b>	<b>4,250</b>	<b>4,429</b>