

## Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	0	62	62
New UIT Notice Filings	169	0	169
Renewal Filings	40	1831	1871
Additions	8	288	296
Oversales	0	42	42
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	4	4

## Exemptions

Exemption Type	Filings	Withdrawals
8-1108.02(2) Paper	9	0
8-1108.02(2) Electronic	79	1
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	0	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	5	0
<b>Total Exemptions Received as of July 2021</b>	<b>93</b>	<b>1</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 July 2021</b>	<b>13</b>

## SAMP Act

## Business Opportunities

Activity	Total
New Business Opportunity filing	0
Business Opportunity amendment filing	0
Business Opportunity renewal filing	0
<b>Total filings as of July 2021</b>	<b>3</b>

## Franchise Exemption

Activity	Total
<b>Franchise Exemption filings Received as of July 2021</b>	<b>20</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	6	0	6
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	1	1	2
Gain (+) /Loss (-) BD's between June & July 2020	5	-1	4
<b>Total BD's Registered as of July 2021</b>	<b>1,297</b>	<b>29</b>	<b>1,326</b>

<b>Broker-Dealer Agents</b>			
<b>Activity</b>	<b>FINRA</b>	<b>NON-FINRA</b>	<b>Total</b>
Approved	3,051	0	3,051
Denied	0	0	0
Terminations	2,202	0	2,202
Gain (+) /Loss (-) BDA's between June & July 2020	849	0	849
<b>Total BDA's Registered as of July 2021</b>	<b>118,954</b>	<b>87</b>	<b>119,041</b>

**Investment Advisers and Representatives**

<b>Investment Advisers</b>			
<b>Activity</b>	<b>Registered</b>	<b>Notice Filed</b>	<b>Total</b>
Approved	1	28	29
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	0	4	4
Gain (+) /Loss (-) IA's between June & July 2020	1	24	25
<b>Total IA's Registered as of July 2021</b>	<b>97</b>	<b>1,697</b>	<b>1,794</b>

<b>Investment Adviser Representatives</b>			
<b>Activity</b>	<b>Registered</b>	<b>Notice Filed</b>	<b>Total</b>
Approved	1	314	315
Denied	0	0	0
Terminated	0	328	328
Gain (+) /Loss (-) IAR's between June & July 2020	1	-14	-13
<b>Total IAR's Registered as of July 2021</b>	<b>153</b>	<b>4,324</b>	<b>4,477</b>