

Securities Registrations

Filing/Security Type	Paper	Electronic	Total
New Notice Filings	131	204	335
Renewal Filings	146	2001	2147
Additions	16	303	319
Oversales	0	61	61
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	5	0
8-1108.02(2) Electronic	29	3
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	3	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 September 2018	37	3

Loan Broker Act

Activity	Total
New Loan Broker filing	1
Loan Broker amendment filing	-
Loan Broker renewal filing	-
Total Loan Brokers Registered as of September 2018	8

SAMP Act

Business Opportunities

Activity	Total
New Business Opportunity filing	-
Business Opportunity amendment filing	-
Business Opportunity renewal filing	-
Total filings as of September 2018	5

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of September 2018	20

Broker-Dealers and Broker-Dealer Agents

Broker-Dealers

Activity	FINRA	NON-FINRA	Total
Approved	3	0	3
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	6	0	6
Gain (+) /Loss (-) BD's between August & Septembe	-3	0	-3
Total BD's Registered as of September 2018	1,324	29	1,353

Broker-Dealer Agents

Activity	FINRA	NON-FINRA	Total
Approved	1,977	0	1,977
Denied		0	0
Terminations	1,241	0	1,241
Gain (+) /Loss (-) BDA's between August & Septembe	736	0	736
Total BDA's Registered as of September 2018	108,531	84	108,615

Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	2	9	11
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	3	2	5
Gain (+) /Loss (-) IA's between August & Septembe	-1	7	6
Total IA's Registered as of September 2018	99	1,430	1,529

Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	1	58	59
Denied	0	0	0
Terminated	1	56	57
Gain (+) /Loss (-) IAR's between August & Septembe	0	2	2
Total IAR's Registered as of September 2018	179	4,200	4,379