



DEPARTMENT OF BANKING  
AND FINANCE

March 2017

**Securities Registrations**

Filing/Security Type	Paper	Electronic	Total
Additional	24	457	481
Oversales	0	52	52
Renewal Filings	297	1927	2224
New Notice Filings	320	430	750
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	6	0	6
BDC	0	0	0
Debt	0	0	0
Qualification	0	0	0
Other	0	0	0
Denials	0	0	0
Sales of Unregistered Securities	1	0	1
Withdrawals	3	0	3

**Broker-Dealers and Broker-Dealer Agents**

**Broker-Dealers**

Activity	FINRA	NON-FINRA	Total
Approved	7	0	7
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	7	0	7
Gain (+) /Loss (-) BD's between Feb & March 2017	0	0	0
<b>Total BD's Registered as of March 31, 2017</b>	<b>1,312</b>	<b>29</b>	<b>1,341</b>

**Broker-Dealer Agents**

Activity	FINRA	NON-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	2,019	0	2,019
Denied	0	0	0
Terminations	1,370	0	1,370
Gain (+) /Loss (-) BDA's between Feb & March 2017	678	0	678
<b>Total BDA's Registered as of March 31, 2017</b>	<b>101,440</b>	<b>53</b>	<b>101,493</b>

**Investment Advisers and Representatives**

**Investment Advisers**

Activity	Registered	Notice Filed	Total
Approved	2	36	38
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	0	7	7
Gain (+) /Loss (-) IA's between Feb & March 2017	2	29	31
<b>Total IA's Registered as of March 31, 2017</b>	<b>106</b>	<b>1,331</b>	<b>1,437</b>

**Investment Adviser Representatives**

Activity	Registered	Notice Filed	Total
Approved	2	76	78
Denied	0	0	0
Terminated	2	30	32
Gain (+) /Loss (-) IAR's between Feb & March 2017	0	46	46
<b>Total IAR's Registered as of March 31, 2017</b>	<b>188</b>	<b>3,959</b>	<b>4,147</b>



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**Exemptions**

Exemption Type	Number
8-1108.02(2) Paper	5
8-1108.02(2) Paper - Withdrawn	1
8-1108.02(2) EFD	28
8-1108.02(2) EFD - Withdrawn	0
8-1108.02(3)	0
8-1111(16)	0
8-1110(5)(b)	0
8-1111(20)	0
8-1110(8)	0
8-1111(9)	29
8-1111(9) Withdrawn	1
8-1111(11)(a)	0
8-1111(11)(b)	0
8-1111(14)	0
8-1111(15)	0
8-1111(17)	0
8-1111(23)	1
<b>Total Exemptions Approved as of March 31, 2017</b>	<b>63</b>

**Loan Broker Act**

Activity	Total
New Loan Broker filing	0
Loan Broker amendment filing	0
Loan Broker renewal filing	1
<b>Total Loan Brokers Registered as of March 31, 2017</b>	<b>9</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 March 31, 2017</b>	<b>6</b>

**Franchise Exemption**

Activity	Total
Franchise Exemption filing	40