

**MONTH END ACTIVITY REPORT**  
**Bureau of Securities**  
**June 2014**

**Securities Registrations**

<b>Filing/Security Type</b>	<b>Paper</b>	<b>Electronic</b>	<b>Total</b>
Additional	57	223	280
Oversales	2	37	39
Renewal Filings	565	1438	2003
New Notice Filings	315	111	426
Common Stock	1	0	1
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	5	0	5
Debt	0	0	0
Qualification	0	0	0
Other	1	0	1
Denials	0	0	0
Sales of Unregistered Securities	0	0	0
Withdrawals	0	0	0

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

**Broker-Dealers**

<b>Activity</b>	<b>FINRA</b>	<b>Non-FINRA</b>	<b>Total</b>
Approved	7	0	7
Applications Withdrawn/Abandoned	0	0	0
Applications Denied	0	0	0
Terminations	2	0	2
Gain (+) /Loss (-) Broker-Dealers between May & June 2014	5	0	5
<b>Total Broker-Dealers Registered as of June 30, 2014</b>	<b>1,332</b>	<b>28</b>	<b>1,360</b>

**Broker-Dealer Agents**

<b>Activity</b>	<b>FINRA</b>	<b>Non-FINRA</b>	<b>Total</b>
Approved (Includes Automatic, Manual, Temp. Queues)	1,898	0	1,898
Denied	0	0	0
Terminations	1,213	0	1,213
Gain (+) /Loss (-) Agents between May & June 2014	685	0	685
<b>Total BD Agents Registered as of June 30, 2014</b>	<b>93,456</b>	<b>27</b>	<b>93,483</b>

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**June 2014**

**Investment Advisers and Representatives**

**Investment Advisers**

Activity	Registered	Notice Filed	Total
Approved	0	3	3
Applications Withdrawn	0	0	0
Registrations Terminated/Withdrawn	0	0	0
Denied	0	0	0
Gain (+) /Loss (-) IA's between May & June 2014	0	3	3
<b>Total IA's Registered as of June 30, 2014</b>	<b>101</b>	<b>1,184</b>	<b>1,285</b>

**Investment Adviser Representatives**

Activity	Registered	Notice Filed	Total
Approved	1	17	18
Denied	0	0	0
Terminated	0	0	0
Gain (+) /Loss (-) IAR's between May & June 2014	1	17	18
<b>Total IAR's Registered as of June 30, 2014</b>	<b>245</b>	<b>3,580</b>	<b>3,825</b>

**Exemptions**

Exemption Type	Number		
8-1108.02(2)	36		
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)	6		
8-1111(11)(a)	0		
8-1111(11)(b)	0		
8-1111(14)	0		
8-1111(15)	0		
8-1111(17)	0		
<b>Total Exemptions as of June 30, 2014</b>	<b>42</b>		