

MONTH END ACTIVITY REPORT
Bureau of Securities
October 2014

Securities Registrations

Filing/Security Type	Paper	Electronic	Total
Additional	65	284	349
Oversales	5	53	58
Renewal Filings	740	1400	2140
New Notice Filings	181	89	270
Common Stock	1	0	1
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	1	0	1
BDC	4	0	4
Debt	0	0	0
Qualification	0	0	0
Other	0	0	0
Denials	0	0	0
Sales of Unregistered Securities	0	1	1
Withdrawals	0	0	0

Broker-Dealers and Broker-Dealer Agents

Broker-Dealers

Activity	FINRA	Non-FINRA	Total
Approved	6	0	6
Applications Withdrawn/Abandoned	0	0	0
Applications Denied	0	0	0
Terminations	4	0	4
Gain (+) /Loss (-) BD's between Sep & Oct 2014	2	0	2
Total BD's Registered as of Oct. 31, 2014	1,352	29	1,381

Broker-Dealer Agents

Activity	FINRA	Non-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	2,032	0	2,032
Denied	0	0	0
Terminations	1,327	0	1,327
Gain (+) /Loss (-) BDA's between Sep & Oct 2014	705	0	705
Total BDA's Registered as of Oct. 31, 2014	96,363	27	96,390

MONTH END ACTIVITY REPORT
Bureau of Securities
October Investment Advisers

Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	2	10	12
Applications Withdrawn	0	0	0
Registrations Terminated/Withdrawn	0	2	2
Denied	0	0	0
Gain (+) /Loss (-) IA's between Sep & Oct 2014	2	8	10
Total IA's Registered as of Oct. 31, 2014	105	1,212	1,317

Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	3	59	62
Denied	0	0	0
Terminated	1	39	40
Gain (+) /Loss (-) IAR's between Sep & Oct 2014	2	20	22
Total IAR's Registered as of Oct. 31, 2014	180	3,658	3,838

Exemptions

Exemption Type	Number
8-1108.02(2)	41
8-1108.02(3)	0
8-1111(16)	1
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
Total Exemptions as of Oct. 31, 2014	48