

MONTH END ACTIVITY REPORT
Bureau of Securities
March 2015

Securities Registrations			
Filing/Security Type	Paper	Electronic	Total
Additionalals	89	300	389
Oversales	3	50	53
Renewal Filings	639	1429	2068
New Notice Filings	198	121	319
Common Stock	1	0	1
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

Broker-Dealers and Broker-Dealer Agents			
Broker-Dealers			
Activity	FINRA	Non-FINRA	Total
Approved	12	0	12
Applications Withdrawn/Abandoned	0	0	0
Applications Denied	0	0	0
Terminations	4	0	4
Gain (+) /Loss (-) BD's between Feb & Mar 2015	8	0	8
Total BD's Registered as of March 31, 2015	1,340	30	1,370
Broker-Dealer Agents			
Activity	FINRA	Non-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	2,199	0	2,199
Denied	0	0	0
Terminations	1,108	0	1,108
Gain (+) /Loss (-) Agents between Feb & Mar 2015	1,091	0	1,091
Total BDA's Registered as of March 31, 2015	96,372	31	96,403

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Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	1	39	40
Applications Withdrawn	0	0	0
Registrations Terminated/Withdrawn	1	4	5
Denied	0	0	0
Gain (+) /Loss (-) IA's between Feb & Mar 2015	0	35	35
Total IA's Registered as of March 31, 2015	103	1,242	1,345

Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	8	82	90
Denied	0	0	0
Terminated	2	42	44
Gain (+) /Loss (-) IAR's between Feb & Mar 2015	6	40	46
Total IAR's Registered as of March 31, 2015	175	3,666	3,841

Exemptions

Exemption Type	Number
8-1108.02(2)	22
8-1108.02(3)	0
8-1111(16)	1
8-1110(5)(b)	0
8-1111(20)	1
8-1110(8)	0
8-1111(9)	9
8-1111(11)(a)	0
8-1111(11)(b)	0
8-1111(14)	0
8-1111(15)	1
8-1111(17)	0
Total Exemptions as of March 31, 2015	34