

MONTH END ACTIVITY REPORT
Bureau of Securities
May 2015

Securities Registrations

Filing/Security Type	Paper	Electronic	Total
Additionalals	73	274	347
Oversales	90	45	135
Renewal Filings	497	1198	1695
New Notice Filings	188	81	269
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	3	0	3
BDC	1	0	1
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	2	0	2
Applications Withdrawn/Abandoned	0	0	0
Applications Denied	0	0	0
Terminations	1	0	1
Gain (+) /Loss (-) BD's between Apr & May 2015	1	0	1
Total BD's Registered as of May 31, 2015	1,338	30	1,368
Broker-Dealer Agents			
Activity	FINRA	Non-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	1,738	1	1,739
Denied	0	0	0
Terminations	1,265	0	1,265
Gain (+) /Loss (-) Agents between Apr & May 2015	473	0	473
Total BDA's Registered as of May 31, 2015	97,551	32	97,583

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Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	5	12	17
Applications Withdrawn	0	0	0
Registrations Terminated/Withdrawn	0	1	1
Denied	0	0	0
Gain (+) /Loss (-) IA's between Apr & May 2015	5	11	16
Total IA's Registered as of May 31, 2015	108	1,262	1,370

Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	11	44	55
Denied	0	0	0
Terminated	1	35	36
Gain (+) /Loss (-) IAR's between Apr & May 2015	10	9	19
Total IAR's Registered as of May 31, 2015	187	3,707	3,894

Exemptions

Exemption Type	Number
8-1108.02(2)	22
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
Total Exemptions as of May 31, 2015	28