

MONTH END ACTIVITY REPORT
Bureau of Securities
June 2015

Securities Registrations

Filing/Security Type	Paper	Electronic	Total
Additional	68	252	320
Oversales	53	54	107
Renewal Filings	666	1589	2255
New Notice Filings	317	260	577
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	1	0	1
Debt	0	0	0
BDC	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	8	0	8
Applications Withdrawn/Abandoned	0	0	0
Applications Denied	0	0	0
Terminations	3	0	3
Gain (+) /Loss (-) BD's between May & Jun 2015	5	0	5
Total BD's Registered as of June 30, 2015	1,343	30	1,373

Broker-Dealer Agents

Activity	FINRA	Non-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	2,012	0	2,012
Denied	0	0	0
Terminations	1,339	0	1,339
Gain (+) /Loss (-) BDA's between May & Jun 2015	673	0	673
Total BDA's Registered as of June 30, 2015	98,224	32	98,256

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Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	1	13	14
Applications Withdrawn	0	0	0
Registrations Terminated/Withdrawn	0	2	2
Denied	0	0	0
Gain (+) /Loss (-) IA's between May & Jun 2015	1	11	12
Total IA's Registered as of June 30, 2015	109	1,273	1,382

Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	1	78	79
Denied	0	0	0
Terminated	0	62	62
Gain (+) /Loss (-) IAR's between May & Jun 2015	1	16	17
Total IAR's Registered as of June 30, 2015	188	3,723	3,911

Exemptions

Exemption Type	Number
8-1108.02(2)	30
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)	10
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 June 30, 2015	40