

**MONTH END ACTIVITY REPORT**  
**Bureau of Securities**  
**July 2015**

**Securities Registrations**

Filing/Security Type	Paper	Electronic	Total
Additional	77	301	378
Oversales	2	56	58
Renewal Filings	657	1410	2067
New Notice Filings	184	120	304
Common Stock	1	0	1
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	1	0	1
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	1	0	1

**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Applications Withdrawn/Abandoned	0	0	0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	3	0	3
Gain (+) /Loss (-) BD's between Jun & Jul 2015	3	0	3
<b>Total BD's Registered as of July 31, 2015</b>	<b>1,346</b>	<b>30</b>	<b>1,376</b>

**Broker-Dealer Agents**

Activity	FINRA	NON-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	2,115	0	2,115
Denied	0	0	0
Terminations	1,395	0	1,395
Gain (+) /Loss (-) BDA's between Jun & Jul 2015	720	0	720
<b>Total BDA's Registered as of July 31, 2015</b>	<b>98,944</b>	<b>32</b>	<b>98,976</b>

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**Investment Advisers and Representatives**

**Investment Advisers**

Activity	Registered	Notice Filed	Total
Approved	2	8	10
Applications Withdrawn	0	0	0
Registrations Terminated/Withdrawn	2	0	2
Denied	0	0	0
Gain (+) /Loss (-) IA's between Jun & Jul 2015	0	6	6
<b>Total IA's Registered as of July 31, 2015</b>	<b>109</b>	<b>1,279</b>	<b>1,388</b>

**Investment Adviser Representatives**

Activity	Registered	Notice Filed	Total
Approved	1	56	57
Denied	0	0	0
Terminated	3	45	48
Gain (+) /Loss (-) IAR's between Jun & Jul 2015	-2	11	9
<b>Total IAR's Registered as of July 31, 2015</b>	<b>186</b>	<b>3,734</b>	<b>3,920</b>

**Exemptions**

Exemption Type	Number
8-1108.02(2) Paper	20
8-1108.02(2) EFD	14
8-1108.02(2) Withdrawn	
8-1108.02(3)	
8-1111(16)	
8-1110(5)(b)	
8-1111(20)	
8-1110(8)	
8-1111(9)	14
8-1111(9) Withdrawn	1
8-1111(11)(a)	
8-1111(11)(b)	
8-1111(14)	
8-1111(15)	
8-1111(17)	
<b>Total Exemptions as of July 31, 2015</b>	<b>49</b>