

MONTH END ACTIVITY REPORT
Bureau of Securities
August 2015

Securities Registrations

| Filing/Security Type | Paper | Electronic | Total |
|----------------------------------|-------|------------|-------|
| Additional | 70 | 245 | 315 |
| Oversales | 1 | 36 | 37 |
| Renewal Filings | 662 | 1477 | 2139 |
| New Notice Filings | 174 | 123 | 297 |
| Common Stock | 3 | 2 | 5 |
| Limited Partnerships | 0 | 0 | 0 |
| Preferred Stock | 0 | 0 | 0 |
| REIT | 5 | 0 | 5 |
| 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 | 3 | 0 | 3 |
| Applications Withdrawn/Abandoned | 0 | 0 | 0 |
| Applications Denied | 0 | 0 | 0 |
| Terminations | 3 | 0 | 3 |
| Gain (+) /Loss (-) BD's between Jul & Aug 2015 | 0 | 0 | 0 |
| Total BD's Registered as of Aug. 31, 2015 | 1,346 | 30 | 1,376 |

Broker-Dealer Agents

| Activity | FINRA | Non-FINRA | Total |
|---|---------------|-----------|---------------|
| Approved (Includes Automatic, Manual, Temp. Queues) | 2,063 | 1 | 2,064 |
| Denied | 0 | 0 | 0 |
| Terminations | 1,319 | 0 | 1,319 |
| Gain (+) /Loss (-) BDA's between Jul & Aug 2015 | 744 | 1 | 745 |
| Total BDA's Registered as of Aug. 31, 2015 | 99,688 | 33 | 99,721 |

MONTH END ACTIVITY REPORT
Bureau of Securities
August 2015

Investment Advisers and Representatives

Investment Advisers

| Activity | Registered | Notice Filed | Total |
|--|------------|--------------|--------------|
| Approved | 1 | 10 | 11 |
| Applications Withdrawn | 0 | 0 | 0 |
| Registrations Terminated/Withdrawn | 1 | 3 | 4 |
| Denied | 0 | 0 | 0 |
| Gain (+) /Loss (-) IA's between Jul & Aug 2015 | 0 | 7 | 7 |
| Total IA's Registered as of Aug. 31, 2015 | 109 | 1,286 | 1,395 |

Investment Adviser Representatives

| Activity | Registered | Notice Filed | Total |
|---|------------|--------------|--------------|
| Approved | 4 | 56 | 60 |
| Denied | 0 | 0 | 0 |
| Terminated | 2 | 37 | 39 |
| Gain (+) /Loss (-) IAR's between Jul & Aug 2015 | 2 | 19 | 21 |
| Total IAR's Registered as of Aug. 31, 2015 | 188 | 3,753 | 3,941 |

Exemptions

| Exemption Type | Number |
|---|-----------|
| 8-1108.02(2) Paper | 21 |
| 8-1108.02(2) EFD | 16 |
| 8-1108.02(2) Withdrawn | 0 |
| 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) | 8 |
| 8-1111(9) Withdrawn | 0 |
| 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 Aug. 31, 2015 | 45 |