

MONTH END ACTIVITY REPORT
Bureau of Securities
September 2015

Securities Registrations

Filing/Security Type	Paper	Electronic	Total
Additional	65	212	277
Oversales	8	44	52
Renewal Filings	694	1551	2245
New Notice Filings	229	135	364
Common Stock	3	0	3
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	3	0	3
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	3	0	3
Applications Withdrawn/Abandoned	0	0	0
Applications Denied	0	0	0
Terminations	3	0	3
Gain (+) /Loss (-) BD's between Aug & Sep 2015	0	0	0
Total BD's Registered as of Sept. 31, 2015	1,346	30	1,376

Broker-Dealer Agents

Activity	FINRA	Non-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	2,327	0	2,327
Denied	0	0	0
Terminations	1,145	0	1,145
Gain (+) /Loss (-) BDA's between Aug & Sep 2015	1,182	0	1,182
Total BDA's Registered as of Sept. 31, 2015	100,870	33	100,903

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Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	1	14	15
Applications Withdrawn	0	0	0
Registrations Terminated/Withdrawn	1	2	3
Denied	0	0	0
Gain (+) /Loss (-) IA's between Aug & Sep 2015	0	12	12
Total IA's Registered as of Sept. 31, 2015	109	1,298	1,407

Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	5	49	54
Denied	0	0	0
Terminated	9	34	43
Gain (+) /Loss (-) IAR's between Aug & Sep 2015	-4	15	11
Total IAR's Registered as of Sept. 31, 2015	184	3,768	3,952

Exemptions

Exemption Type	Number
8-1108.02(2) Paper	12
8-1108.02(2) Paper- Withdrawn	1
8-1108.02(2) EFD	15
8-1108.02(2) EFD- Withdrawn	2
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8-1111(9) Withdrawn	0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 Sept. 31, 2015	38