

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

**Securities Registrations**

Filing/Security Type	Paper	Electronic	Total
Additional	67	198	265
Oversales	5	41	46
Renewal Filings	613	1449	2062
New Notice Filings	192	52	244
Common Stock	0	0	0
Limited Partnerships	1	0	1
Preferred Stock	0	0	0
REIT	2	0	2
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	2	2

**Broker-Dealers and Broker-Dealer Agents**

**Broker-Dealers**

Activity	FINRA	Non-FINRA	Total
Approved	4	0	4
Applications Withdrawn/Abandoned	0	0	0
Applications Denied	0	0	0
Terminations	3	0	3
Gain (+) /Loss (-) BD's between Sep & Oct 2015	1	0	1
<b>Total BD's Registered as of Oct. 31, 2015</b>	<b>1,347</b>	<b>30</b>	<b>1,377</b>

**Broker-Dealer Agents**

Activity	FINRA	Non-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	2,052	0	2,052
Denied	0	0	0
Terminations	1,317	0	1,317
Gain (+) /Loss (-) BDA's between Sep & Oct 2015	735	0	735
<b>Total BDA's Registered as of Oct. 31, 2015</b>	<b>101,605</b>	<b>33</b>	<b>101,638</b>

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**Investment Advisers and Representatives**

**Investment Advisers**

Activity	Registered	Notice Filed	Total
Approved	1	3	4
Applications Withdrawn	0	0	0
Registrations Terminated/Withdrawn	1	4	5
Denied	0	0	0
Gain (+) /Loss (-) IA's between Sep & Oct 2015	0	-1	-1
<b>Total IA's Registered as of Oct. 31, 2015</b>	<b>109</b>	<b>1,297</b>	<b>1,406</b>

**Investment Adviser Representatives**

Activity	Registered	Notice Filed	Total
Approved	8	53	61
Denied	0	0	0
Terminated	4	36	40
Gain (+) /Loss (-) IAR's between Sep & Oct 2015	4	17	21
<b>Total IAR's Registered as of Oct. 31, 2015</b>	<b>188</b>	<b>3,785</b>	<b>3,973</b>

**Exemptions**

Exemption Type	Number
8-1108.02(2) Paper	13
8-1108.02(2) Paper - Withdrawn	1
8-1108.02(2) EFD	18
8-1108.02(2) EFD - Withdrawn	1
8-1108.02(3)	
8-1111(16)	
8-1110(5)(b)	
8-1111(20)	
8-1110(8)	
8-1111(9)	10
8-1111(9) Withdrawn	
8-1111(11)(a)	
8-1111(11)(b)	
8-1111(14)	
<b>Total Exemptions as of Oct. 31, 2015</b>	<b>43</b>