

MONTH END ACTIVITY REPORT
Bureau of Securities
December 2015

Securities Registrations

Filing/Security Type	Paper	Electronic	Total
Additional	78	369	447
Oversales	125	72	197
Renewal Filings	727	1430	2157
New Notice Filings	210	117	327
Common Stock	0	0	0
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	0	0	0

Broker-Dealers and Broker-Dealer Agents

Broker-Dealers

Activity	FINRA	Non-FINRA	Total
Approved	5	0	5
Applications Withdrawn/Abandoned	0	0	0
Applications Denied	0	0	0
Terminations	14	0	14
Gain (+) /Loss (-) BD's between Nov & Dec 2015	-9	0	-9
Total BD's Registered as of Dec. 31, 2015	1,335	30	1,365

Broker-Dealer Agents

Activity	FINRA	Non-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues) *	1,569	0	1,569
Denied	0	0	0
Terminations	5,923	0	5,923
Gain (+) /Loss (-) BDA's between Nov & Dec 2015	-4,354	0	-4,354
Total BDA's Registered as of Dec. 31, 2015	97,807	33	97,840

* Previously omitted Non-FINRA from report.

MONTH END ACTIVITY REPORT
Bureau of Securities
December Bureau of Securities

Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	1	11	12
Applications Withdrawn	0	0	0
Registrations Terminated/Withdrawn	2	59	61
Denied	0	0	0
Gain (+) /Loss (-) IA's between Nov & Dec 2015	-1	-48	-49
Total IA's Registered as of Dec. 31, 2015	107	1,260	1,367

Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	2	53	55
Denied	0	0	0
Terminated	4	151	155
Gain (+) /Loss (-) IAR's between Nov & Dec 2015	-2	-98	-100
Total IAR's Registered as of Dec. 31, 2015	188	3,696	3,884

Exemptions

Exemption Type	Number
8-1108.02(2) Paper	16
8-1108.02(2) Paper - Withdrawn	2
8-1108.02(2) EFD	19
8-1108.02(2) EFD - Withdrawn	6
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)	9
8-1111(9) Withdrawn	1
8-1111(11)(a)	0
8-1111(11)(b)	1
8-1111(14)	0
8-1111(15)	1
8-1111(17)	0
Total Exemptions as of Dec. 31, 2015	55