

MONTH END ACTIVITY REPORT
Bureau of Securities
January 2016

Securities Registrations			
Filing/Security Type	Paper	Electronic	Total
Additionalals	99	279	378
Oversales	12	44	56
Renewal Filings	657	1097	1754
New Notice Filings	196	110	306
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	6	0	6
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	1	4
Applications Withdrawn/Abandoned	0	0	0
Applications Denied	0	0	0
Terminations	15	0	15
Gain (+) /Loss (-) BD's between Dec '15 & Jan '16	-12	0	-12
Total BD's Registered as of January 31, 2016	1,323	31	1,354
Broker-Dealer Agents			
Activity	FINRA	Non-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	3,516	2	3,518
Denied	0	0	0
Terminations	1,018	0	1,018
Gain (+) /Loss (-) BDA's between Dec '15 & Jan '16	2,498	0	2,498
Total BDA's Registered as of January 31, 2016	100,305	35	100,340

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Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	3	13	16
Applications Withdrawn	0	0	0
Registrations Terminated/Withdrawn	3	3	6
Denied	0	0	0
Gain (+) /Loss (-) IA's between Dec '15 & Jan '16	0	10	10
Total IA's Registered as of January 31, 2016	107	1,270	1,377

Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	5	77	82
Denied	0	0	0
Terminated	3	22	25
Gain (+) /Loss (-) IAR's between Dec '15 & Jan '16	2	55	57
Total IAR's Registered as of January 31, 2016	190	3,751	3,941

Exemptions

Exemption Type	Number
8-1108.02(2) Paper	14
8-1108.02(2) Paper - Withdrawn	0
8-1108.02(2) EFD	22
8-1108.02(2) EFD - Withdrawn	0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)	6
8-1111(9) Withdrawn	0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 January 31, 2016	42