

MONTH END ACTIVITY REPORT
Bureau of Securities
February 2016

Securities Registrations

Filing/Security Type	Paper	Electronic	Total
Additional	103	270	373
Oversales	13	39	52
Renewal Filings	709	1255	1964
New Notice Filings	228	107	335
Common Stock	3	0	3
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	8	0	8
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	7	0	7
Applications Withdrawn/Abandoned	0	0	0
Applications Denied	0	0	0
Terminations	3	0	3
Gain (+) /Loss (-) BD's between Jan & Feb 2016	4	0	4
Total BD's Registered as of Feb. 29, 2016	1,327	31	1,358

Broker-Dealer Agents

Activity	FINRA	Non-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	2,083	0	2,083
Denied	0	0	0
Terminations	1,139	1	1,140
Gain (+) /Loss (-) Agents between Jan & Feb 2016	944	-1	943
Total BDA's Registered as of Feb. 29, 2016	101,249	34	101,283

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Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	1	10	11
Applications Withdrawn	0	0	0
Registrations Terminated/Withdrawn	3	1	4
Denied	0	0	0
Gain (+) /Loss (-) IA's between Jan & Feb 2016	-2	9	7
Total IA's Registered as of Feb. 29, 2016	105	1,279	1,384

Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	7	58	65
Denied	0	0	0
Terminated	9	35	44
Gain (+) /Loss (-) IAR's between Jan & Feb 2016	-2	23	21
Total IAR's Registered as of Feb. 29, 2016	188	3,774	3,962

Exemptions

Exemption Type	Number
8-1108.02(2) Paper	18
8-1108.02(2) Paper - Withdrawn	2
8-1108.02(2) EFD	7
8-1108.02(2) EFD - Withdrawn	4
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)	5
8-1111(9) Withdrawn	0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 Feb. 29, 2016	36