

**MONTH END ACTIVITY REPORT**  
**Bureau of Securities**  
**March 2016**

**Securities Registrations**

Filing/Security Type	Paper	Electronic	Total
Additionalals	102	265	367
Oversales	13	47	60
Renewal Filings	1101	1293	2394
New Notice Filings	195	124	319
Common Stock	4	0	4
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	4	0	4
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Applications Withdrawn/Abandoned	0	0	0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	6	0	6
Gain (+) /Loss (-) BD's between Feb & Mar 2016	-1	0	-1
<b>Total BD's Registered as of March 31, 2016</b>	<b>1,326</b>	<b>31</b>	<b>1,357</b>

**Broker-Dealer Agents**

Activity	FINRA	Non-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	1,734	0	1,734
Denied	0	0	0
Terminations	1,347	0	1,347
Gain (+) /Loss (-) Agents between Feb & Mar 2016	387	0	387
<b>Total BDA's Registered as of March 31, 2016</b>	<b>101,636</b>	<b>34</b>	<b>101,670</b>

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**Investment Advisers and Representatives**

**Investment Advisers**

Activity	Registered	Notice Filed	Total
Approved	1	28	29
Applications Withdrawn	0	0	0
Registrations Terminated/Withdrawn	0	1	1
Denied	0	0	0
Gain (+) /Loss (-) IA's between Feb & Mar 2016	1	27	28
<b>Total IA's Registered as of March 31, 2016</b>	<b>106</b>	<b>1,306</b>	<b>1,412</b>

**Investment Adviser Representatives**

Activity	Registered	Notice Filed	Total
Approved	4	51	55
Denied	0	0	0
Terminated	0	26	26
Gain (+) /Loss (-) IAR's between Feb & Mar 2016	4	25	29
<b>Total IAR's Registered as of March 31, 2016</b>	<b>192</b>	<b>3,799</b>	<b>3,991</b>

**Exemptions**

Exemption Type	Number
8-1108.02(2) Paper	11
8-1108.02(2) Paper - Withdrawn	1
8-1108.02(2) EFD	19
8-1108.02(2) EFD - Withdrawn	2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)	16
8-1111(9) Withdrawn	0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
<b>Total Exemptions as of March 31, 2016</b>	<b>49</b>