

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

**Securities Registrations**

Filing/Security Type	Paper	Electronic	Total
Additionalals	42	260	302
Oversales	2	36	38
Renewal Filings	305	1871	2176
New Notice Filings	154	98	252
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	7	0	7
Applications Withdrawn/Abandoned	0	0	0
Applications Denied	0	0	0
Terminations	4	0	4
Gain (+) /Loss (-) BD's between Apr & May 2016	3	0	3
<b>Total BD's Registered as of May 31, 2016</b>	<b>1,328</b>	<b>31</b>	<b>1,359</b>

**Broker-Dealer Agents**

Activity	FINRA	Non-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	1,988	18	2,006
Denied	0	0	0
Terminations	1,768	0	1,768
Gain (+) /Loss (-) Agents between Apr & May 2016	220	0	220
<b>Total BDA's Registered as of May 31, 2016</b>	<b>102,328</b>	<b>52</b>	<b>102,380</b>

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**Investment Advisers and Representatives**

**Investment Advisers**

Activity	Registered	Notice Filed	Total
Approved	1	7	8
Applications Withdrawn	0	0	0
Registrations Terminated/Withdrawn	2	2	4
Denied	0	0	0
Gain (+) /Loss (-) IA's between Apr & May 2016	-1	5	4
<b>Total IA's Registered as of May 31, 2016</b>	<b>108</b>	<b>1,318</b>	<b>1,426</b>

**Investment Adviser Representatives**

Activity	Registered	Notice Filed	Total
Approved	1	65	66
Denied	0	0	0
Terminated	4	56	60
Gain (+) /Loss (-) IAR's between Apr & May 2016	-3	9	6
<b>Total IAR's Registered as of May 31, 2016</b>	<b>191</b>	<b>3,806</b>	<b>3,997</b>

**Exemptions**

Exemption Type	Number
8-1108.02(2) Paper	25
8-1108.02(2) Paper - Withdrawn	1
8-1108.02(2) EFD	17
8-1108.02(2) EFD - Withdrawn	3
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8-1111(9) Withdrawn	0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
<b>Total Exemptions as of May 31, 2016</b>	<b>51</b>