

**OFFICE OF FINANCIAL REGULATION
SECURITIES FIRMS, BRANCHES AND AGENTS STATISTICS**

APPLICATIONS RECEIVED													
CODE	LICENSE TYPE	FISCAL YEAR											
		04-05	05-06	06-07	07-08	08-09	09-10	10-11	11-12	12-13	13-14	14-15	15-16
BD	Broker/Dealer	263	232	225	226	205	214	274	243	166	168	184	166
BDA	Broker/Dealer Agents (non-FINRA/CRD only)	426	500	72	25	0	0	2	3	2	2	2	0
BDB	Broker/Dealer Branch	2,014	3,223	2,259	1,871	1,892	1,794	1,622	1,523	1,346	1,315	1,391	1,388
IA	Investment Adviser	567	688	650	651	587	642	647	872	634	744	806	730
IAB	Investment Adviser Branch	6	70	145	16	20	42	34	36	53	53	56	50
ID	Issuer/Dealer	7	10	14	8	10	4	12	14	13	4	4	7
IDA	Issuer/Dealer Agents	30	33	48	25	23	8	21	37	28	33	17	38
IDB	Issuer/Dealer Branch	0	0	0	0	0	0	0	0	2	0	0	0
	TOTAL	3,313	4,756	3,413	2,822	2,737	2,704	2,612	2,728	2,244	2,319	2,460	2,379
APPLICATIONS APPROVED													
CODE	LICENSE TYPE	FISCAL YEAR											
		04-05	05-06	06-07	07-08	08-09	09-10	10-11	11-12	12-13	13-14	14-15	15-16
BD	Broker/Dealer	233	213	199	187	107	112	214	144	135	110	111	98
BDA	Broker/Dealer Agents (non-FINRA/CRD only)	402	491	106	30	0	0	0	1	2	0	0	0
BDB	Broker/Dealer Branch	1,795	2,544	2,685	1,993	1,880	1,586	1,656	1,425	1,315	1,339	1,391	1,387
IA	Investment Adviser	508	604	581	611	374	542	549	685	709	608	716	728
IAB	Investment Adviser Branch	5	31	149	9	11	26	30	24	55	49	59	49
ID	Issuer/Dealer	2	11	13	5	8	3	7	12	5	4	2	3
IDA	Issuer/Dealer Agents	21	33	40	25	21	11	18	36	21	23	19	34
IDB	Issuer/Dealer Branch	0	0	0	0	0	0	0	0	0	2	0	0
	TOTAL	2,966	3,927	3,773	2,860	2,401	2,280	2,474	2,327	2,242	2,135	2,298	2,299
ACTIVE LICENSEES													
CODE	LICENSE TYPE	FISCAL YEAR											
		04-05	05-06	06-07	07-08	08-09	09-10	10-11	11-12	12-13	13-14	14-15	15-16
BD	Broker/Dealer	3,239	3,235	3,239	3,183	3,080	2,921	2,906	2,850	2,789	2,715	2,645	2,580
BDA	Broker/Dealer Agents (non-FINRA/CRD only)	1,917	2,219	102	71	11	6	0	1	3	3	1	1
BDB	Broker/Dealer Branch	9,024	10,299	11,089	10,626	11,240	11,302	10,693	10,165	10,234	10,225	10,369	10,373
IA	Investment Adviser	3,450	3,743	3,972	4,264	4,381	4,587	4,667	4,761	4,961	5,182	5,499	5,754
IAB	Investment Adviser Branch	40	44	118	107	44	66	77	76	110	146	160	179
ID	Issuer/Dealer	119	110	105	98	88	87	81	83	73	74	72	72
IDA	Issuer/Dealer Agents	195	190	189	183	173	173	161	172	140	145	148	157
IDB	Issuer/Dealer Branch	1	1	1	1	1	1	1	0	0	2	2	2
	TOTAL	17,985	19,841	18,815	18,533	19,018	19,143	18,586	18,108	18,310	18,492	18,896	19,118
RENEWALS AND REACTIVATIONS													
CODE	LICENSE TYPE	FISCAL YEAR											
		04-05	05-06	06-07	07-08	08-09	09-10	10-11	11-12	12-13	13-14	14-15	15-16

8/25/2016

Securities Registration

**OFFICE OF FINANCIAL REGULATION
SECURITIES FIRMS, BRANCHES AND AGENTS STATISTICS**

		04-05	05-06	06-07	07-08	08-09	09-10	10-11	11-12	12-13	13-14	14-15	15-16
BD	Broker/Dealer	3,158	3,165	3,169	3,172	3,006	2,864	2,862	2,809	2,761	2,701	2,626	2,569
BDA	Broker/Dealer Agents (non-FINRA only)	1,718	1,928	111	57	11	6	0	1	2	3	1	1
BDB	Broker/Dealer Branch	9,661	9,007	10,598	10,346	10,310	10,492	10,028	9,920	10,060	9,989	10,137	10,254
IA	Investment Adviser	3,214	3,403	3,684	3,954	4,096	4,283	4,406	4,519	4,687	4,910	5,175	5,464
IAB	Investment Adviser Branch	42	22	62	110	37	55	57	70	85	117	131	155
ID	Issuer/Dealer	124	104	99	102	84	86	79	75	72	74	71	71
IDA	Issuer/Dealer Agents	218	180	171	187	162	169	156	145	132	118	137	134
IDB	Issuer/Dealer Branch	1	1	1	1	1	1	1	0	0	2	2	2
	TOTAL	18,136	17,810	17,895	17,929	17,707	17,956	17,589	17,539	17,799	17,914	18,280	18,650
	CRD AGENTS												
	APPLICATIONS RECEIVED												
	FISCAL YEAR												
		04-05	05-06	06-07	07-08	08-09	09-10	10-11	11-12	12-13	13-14	14-15	15-16
	AG	51,331	54,606	53,953	55,521	76,045	50,964	52,486	46,655	43,624	45,782	47,874	48,616
	RA	4,895	5,661	5,821	6,136	8,699	5,679	5,806	6,085	5,966	6,076	6,396	6,784
	TOTAL	56,226	60,267	59,774	61,657	84,744	56,643	58,292	52,740	49,590	51,858	54,270	55,400
	APPLICATIONS APPROVED												
	FISCAL YEAR												
		04-05	05-06	06-07	07-08	08-09	09-10	10-11	11-12	12-13	13-14	14-15	15-16
	AG	49,529	53,443	52,909	54,284	70,901	46,144	52,327	45,492	42,618	45,414	47,473	48,152
	RA	4,669	5,404	5,371	5,454	5,939	2,316	4,734	5,791	5,782	5,716	5,844	6,332
	TOTAL	54,198	58,847	58,280	59,738	76,840	48,460	57,061	51,283	48,400	51,130	53,317	54,484
	ACTIVE LICENSEES												
	FISCAL YEAR												
		04-05	05-06	06-07	07-08	08-09	09-10	10-11	11-12	12-13	13-14	14-15	15-16
	AG	218,227	223,510	232,551	241,044	236,319	238,762	249,088	253,053	256,296	264,233	272,603	279,232
	RA	20,584	21,939	24,113	25,912	26,301	26,621	27,478	29,050	30,389	31,890	33,589	35,223
	TOTAL	238,811	245,449	256,664	266,956	262,620	265,383	276,566	282,103	286,685	296,123	306,192	314,455
	RENEWED												
	FISCAL YEAR												
		04-05	05-06	06-07	07-08	08-09	09-10	10-11	11-12	12-13	13-14	14-15	15-16
	AG	205,490	210,345	218,519	228,153	228,539	225,962	233,602	244,155	246,839	254,017	261,344	270,143
	RA	18,713	20,133	21,838	24,026	24,778	24,750	25,661	27,022	28,464	30,067	31,541	33,100
	TOTAL	224,203	230,478	240,357	252,179	253,317	250,712	259,263	271,177	275,303	284,084	292,885	303,243