

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

| APPLICATIONS RECEIVED | | | | | | | | | | | |
|------------------------------|--------------------------------------|--------------------|--------------|--------------|--------------|--------------|--------------|--------------|--------------|--------------|--------------|
| CODE | LICENSE TYPE | FISCAL YEAR | | | | | | | | | |
| | | 09-10 | 10-11 | 11-12 | 12-13 | 13-14 | 14-15 | 15-16 | 16-17 | 17-18 | 18-19 |
| BD | Broker/Dealer | 214 | 274 | 243 | 166 | 168 | 184 | 166 | 168 | 148 | 163 |
| BDA | Broker/Dealer Agents (non-FINRA/CRD) | 0 | 2 | 3 | 2 | 2 | 2 | 0 | 3 | 1 | 0 |
| BDB | Broker/Dealer Branch | 1,794 | 1,622 | 1,523 | 1,346 | 1,315 | 1,391 | 1,388 | 1,402 | 1,663 | 1,540 |
| CFI | Crowdfunding Intermediary | N/A | N/A | N/A | N/A | N/A | N/A | 1 | 1 | 1 | 0 |
| CFIO | Crowdfunding Issuer | N/A | N/A | N/A | N/A | N/A | N/A | 0 | 1 | 0 | 0 |
| IA | Investment Adviser | 642 | 647 | 872 | 634 | 744 | 806 | 730 | 835 | 959 | 873 |
| IAB | Investment Adviser Branch | 42 | 34 | 36 | 53 | 53 | 56 | 50 | 48 | 41 | 32 |
| ID | Issuer/Dealer | 4 | 12 | 14 | 13 | 4 | 4 | 7 | 21 | 17 | 16 |
| IDA | Issuer/Dealer Agents | 8 | 21 | 37 | 28 | 33 | 17 | 38 | 50 | 36 | 27 |
| IDB | Issuer/Dealer Branch | 0 | 0 | 0 | 2 | 0 | 0 | 0 | 0 | 0 | 1 |
| | TOTAL | 2,704 | 2,612 | 2,728 | 2,244 | 2,319 | 2,460 | 2,380 | 2,529 | 2,866 | 2,652 |
| APPLICATIONS APPROVED | | | | | | | | | | | |
| CODE | LICENSE TYPE | FISCAL YEAR | | | | | | | | | |
| | | 09-10 | 10-11 | 11-12 | 12-13 | 13-14 | 14-15 | 15-16 | 16-17 | 17-18 | 18-19 |
| BD | Broker/Dealer | 112 | 214 | 144 | 135 | 110 | 111 | 98 | 113 | 108 | 91 |
| BDA | Broker/Dealer Agents (non-FINRA/CRD) | 0 | 0 | 1 | 2 | 0 | 0 | 0 | 1 | 0 | 0 |
| BDB | Broker/Dealer Branch | 1,586 | 1,656 | 1,425 | 1,315 | 1,339 | 1,391 | 1,387 | 1,397 | 1,660 | 1,540 |
| CFI | Crowdfunding Intermediary | N/A | N/A | N/A | N/A | N/A | N/A | 0 | 1 | 1 | 0 |
| CFIO | Crowdfunding Issuer | N/A | N/A | N/A | N/A | N/A | N/A | 0 | 0 | 0 | 0 |
| IA | Investment Adviser | 542 | 549 | 685 | 709 | 608 | 716 | 728 | 692 | 843 | 768 |
| IAB | Investment Adviser Branch | 26 | 30 | 24 | 55 | 49 | 59 | 49 | 43 | 39 | 30 |
| ID | Issuer/Dealer | 3 | 7 | 12 | 5 | 4 | 2 | 3 | 9 | 14 | 2 |
| IDA | Issuer/Dealer Agents | 11 | 18 | 36 | 21 | 23 | 19 | 34 | 43 | 36 | 9 |
| IDB | Issuer/Dealer Branch | 0 | 0 | 0 | 0 | 2 | 0 | 0 | 0 | 0 | 0 |
| | TOTAL | 2,280 | 2,474 | 2,327 | 2,242 | 2,135 | 2,298 | 2,299 | 2,299 | 2,701 | 2,440 |
| ACTIVE LICENSEES | | | | | | | | | | | |
| CODE | LICENSE TYPE | FISCAL YEAR | | | | | | | | | |
| | | 09-10 | 10-11 | 11-12 | 12-13 | 13-14 | 14-15 | 15-16 | 16-17 | 17-18 | 18-19 |
| BD | Broker/Dealer | 2,921 | 2,906 | 2,850 | 2,789 | 2,715 | 2,645 | 2,580 | 2,528 | 2,493 | 2,438 |
| BDA | Broker/Dealer Agents (non-FINRA/CRD) | 6 | 0 | 1 | 3 | 3 | 1 | 1 | 1 | 1 | 1 |
| BDB | Broker/Dealer Branch | 11,302 | 10,693 | 10,165 | 10,234 | 10,225 | 10,369 | 10,373 | 10,353 | 10,302 | 10,515 |
| CFI | Crowdfunding Intermediary | N/A | N/A | N/A | N/A | N/A | N/A | 0 | 1 | 1 | 0 |
| CFIO | Crowdfunding Issuer | N/A | N/A | N/A | N/A | N/A | N/A | 0 | 0 | 0 | 0 |
| IA | Investment Adviser | 4,587 | 4,667 | 4,761 | 4,961 | 5,182 | 5,499 | 5,754 | 5,984 | 6,307 | 6,589 |
| IAB | Investment Adviser Branch | 66 | 77 | 76 | 110 | 146 | 160 | 179 | 184 | 175 | 166 |
| ID | Issuer/Dealer | 87 | 81 | 83 | 73 | 74 | 72 | 72 | 77 | 83 | 72 |

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| | | RENEWED | | | | | | | | | |
|--|--------------|--------------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|
| | | FISCAL YEAR | | | | | | | | | |
| | | 09-10 | 10-11 | 11-12 | 12-13 | 13-14 | 14-15 | 15-16 | 16-17 | 17-18 | 18-19 |
| | AG | 225,962 | 233,602 | 244,155 | 246,839 | 254,017 | 261,344 | 270,143 | 274,359 | 279,056 | 285,337 |
| | RA | 24,750 | 25,661 | 27,022 | 28,464 | 30,067 | 31,541 | 33,100 | 34,596 | 35,674 | 37,338 |
| | TOTAL | 250,712 | 259,263 | 271,177 | 275,303 | 284,084 | 292,885 | 303,243 | 308,955 | 314,730 | 322,675 |