

**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	19-20	20-21	21-22
BD	Broker/Dealer	214	274	243	166	168	184	166	168	148	163	126	127	162
BDA	Broker/Dealer Agents (non-FINRA/CRD)	0	2	3	2	2	2	0	3	1	0	0	1	2
BDB	Broker/Dealer Branch	1,794	1,622	1,523	1,346	1,315	1,391	1,388	1,402	1,663	1,540	1,488	1,580	1,742
CFI	Crowdfunding Intermediary	N/A	N/A	N/A	N/A	N/A	N/A	1	1	1	0	1	1	1
CFIO	Crowdfunding Issuer	N/A	N/A	N/A	N/A	N/A	N/A	0	1	0	0	0	0	1
IA	Investment Adviser	642	647	872	634	744	806	730	835	959	873	835	1,159	1,300
IAB	Investment Adviser Branch	42	34	36	53	53	56	50	48	41	32	50	36	46
ID	Issuer/Dealer	4	12	14	13	4	4	7	21	17	16	12	17	16
IDA	Issuer/Dealer Agents	8	21	37	28	33	17	38	50	36	27	23	24	31
IDB	Issuer/Dealer Branch	0	0	0	2	0	0	0	0	0	1	0	0	0
	TOTAL	2,704	2,612	2,728	2,244	2,319	2,460	2,380	2,529	2,866	2,652	2,535	2,945	3,301
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	19-20	20-21	21-22
BD	Broker/Dealer	112	214	144	135	110	111	98	113	108	91	72	81	94
BDA	Broker/Dealer Agents (non-FINRA/CRD)	0	0	1	2	0	0	0	1	0	0	0	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	1,476	1,574	1,730
CFI	Crowdfunding Intermediary	N/A	N/A	N/A	N/A	N/A	N/A	0	1	1	0	0	1	1
CFIO	Crowdfunding Issuer	N/A	N/A	N/A	N/A	N/A	N/A	0	0	0	0	0	0	0
IA	Investment Adviser	542	549	685	709	608	716	728	692	843	768	730	979	1,159
IAB	Investment Adviser Branch	26	30	24	55	49	59	49	43	39	30	48	32	41
ID	Issuer/Dealer	3	7	12	5	4	2	3	9	14	2	6	5	4
IDA	Issuer/Dealer Agents	11	18	36	21	23	19	34	43	36	9	18	12	17
IDB	Issuer/Dealer Branch	0	0	0	0	2	0	0	0	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	2,350	2,684	3,046
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	19-20	20-21	21-22
BD	Broker/Dealer	2,921	2,906	2,850	2,789	2,715	2,645	2,580	2,528	2,493	2,438	2,355	2,316	2,332
BDA	Broker/Dealer Agents (non-FINRA/CRD)	6	0	1	3	3	1	1	1	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	10,655	11,020	11,147
CFI	Crowdfunding Intermediary	N/A	N/A	N/A	N/A	N/A	N/A	0	1	1	0	0	1	2
CFIO	Crowdfunding Issuer	N/A	N/A	N/A	N/A	N/A	N/A	0	0	0	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	6,835	7,284	7,907
IAB	Investment Adviser Branch	66	77	76	110	146	160	179	184	175	166	184	187	186
ID	Issuer/Dealer	87	81	83	73	74	72	72	77	83	72	70	70	69

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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	19-20	20-21	21-22
	AG	225,962	233,602	244,155	246,839	254,017	261,344	270,143	274,359	279,056	285,337	289,715	294,693	305,800
	RA	24,750	25,661	27,022	28,464	30,067	31,541	33,100	34,596	35,674	37,338	38,407	39,762	41,392
	TOTAL	250,712	259,263	271,177	275,303	284,084	292,885	303,243	308,955	314,730	322,675	328,122	334,455	347,192