

**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	22-23	23-24
BD	Broker/Dealer	214	274	243	166	168	184	166	168	148	163	126	127	162	166	150
BDA	Broker/Dealer Agents (non-FINRA/CRD)	0	2	3	2	2	2	0	3	1	0	0	1	2	0	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	1,488	1,580	1,742	1,859	1,606
CFI	Crowdfunding Intermediary	N/A	N/A	N/A	N/A	N/A	N/A	1	1	1	0	1	1	1	0	0
CFIO	Crowdfunding Issuer	N/A	N/A	N/A	N/A	N/A	N/A	0	1	0	0	0	0	1	2	1
IA	Investment Adviser	642	647	872	634	744	806	730	835	959	873	835	1,159	1,300	1,020	1,072
IAB	Investment Adviser Branch	42	34	36	53	53	56	50	48	41	32	50	36	46	35	32
ID	Issuer/Dealer	4	12	14	13	4	4	7	21	17	16	12	17	16	14	6
IDA	Issuer/Dealer Agents	8	21	37	28	33	17	38	50	36	27	23	24	31	27	19
IDB	Issuer/Dealer Branch	0	0	0	2	0	0	0	0	0	1	0	0	0	3	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	3,126	2,886
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	22-23	23-24
BD	Broker/Dealer	112	214	144	135	110	111	98	113	108	91	72	81	94	110	109
BDA	Broker/Dealer Agents (non-FINRA/CRD)	0	0	1	2	0	0	0	1	0	0	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	1,831	1,636
CFI	Crowdfunding Intermediary	N/A	N/A	N/A	N/A	N/A	N/A	0	1	1	0	0	1	1	0	0
CFIO	Crowdfunding Issuer	N/A	N/A	N/A	N/A	N/A	N/A	0	0	0	0	0	0	0	0	0
IA	Investment Adviser	542	549	685	709	608	716	728	692	843	768	730	979	1,159	947	912
IAB	Investment Adviser Branch	26	30	24	55	49	59	49	43	39	30	48	32	41	33	30
ID	Issuer/Dealer	3	7	12	5	4	2	3	9	14	2	6	5	4	9	4
IDA	Issuer/Dealer Agents	11	18	36	21	23	19	34	43	36	9	18	12	17	20	19
IDB	Issuer/Dealer Branch	0	0	0	0	2	0	0	0	0	0	0	0	0	1	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	2,951	2,710
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	22-23	23-24
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	2,423	2,308
BDA	Broker/Dealer Agents (non-FINRA/CRD)	6	0	1	3	3	1	1	1	1	1	1	1	1	1	0
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	11,484	11,605
CFI	Crowdfunding Intermediary	N/A	N/A	N/A	N/A	N/A	N/A	0	1	1	0	0	1	2	2	1
CFIO	Crowdfunding Issuer	N/A	N/A	N/A	N/A	N/A	N/A	0	0	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	8,278	8,613
IAB 3/21/2025	Investment Adviser Branch	66	77	76	110	146	160	179	184	175	166	184	187	186	186	180
ID	Issuer/Dealer	87	81	83	73	74	72	72	77	83	72	70	70	69	71	60

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IDA	Issuer/Dealer Agents	173	161	172	140	145	148	157	178	196	176	164	157	133	127	110
IDB	Issuer/Dealer Branch	1	1	0	0	2	2	2	2	2	2	2	2	0	2	2
	TOTAL	19,143	18,586	18,108	18,310	18,492	18,896	19,118	19,308	19,560	19,959	20,266	21,038	21,777	22,569	22,879
	RENEWALS AND REACTIVATIONS															
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	22-23	23-24
BD	Broker/Dealer	2,864	2,862	2,809	2,761	2,701	2,626	2,569	2,516	2,471	2,420	2,377	2,302	2,256	2,334	2,307
BDA	Broker/Dealer Agents (non-FINRA only)	6	0	1	2	3	1	1	1	1	1	1	1	1	1	0
BDB	Broker/Dealer Branch	10,492	10,028	9,920	10,060	9,989	10,137	10,254	10,277	10,216	10,413	10,481	10,678	10,954	11,177	11,435
CFI	Crowdfunding Intermediary	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	1	1	1
CFIO	Crowdfunding Issuer	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
IA	Investment Adviser	4,283	4,406	4,519	4,687	4,910	5,175	5,464	5,683	5,963	6,301	6,551	6,812	7,356	7,934	8,193
IAB	Investment Adviser Branch	55	57	70	85	117	131	155	165	167	166	171	179	168	174	171
ID	Issuer/Dealer	86	79	75	72	74	71	71	70	77	71	65	67	66	70	59
IDA	Issuer/Dealer Agents	169	156	145	132	118	137	134	149	183	172	151	155	140	69	102
IDB	Issuer/Dealer Branch	1	1	0	0	2	2	2	2	2	2	2	2	0	0	2
	TOTAL	17,956	17,589	17,539	17,799	17,914	18,280	18,650	18,863	19,080	19,546	19,799	20,196	20,942	21,760	22,270
		CRD AGENTS														
		APPLICATIONS RECEIVED														
		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	22-23	23-24
	AG	50,964	52,486	46,655	43,624	45,782	47,874	48,616	46,514	48,921	47,429	44,277	49,267	60,286	59,887	49,848
	RA	5,679	5,806	6,085	5,966	6,076	6,396	6,784	7,293	7,091	6,986	6,481	7,654	9,017	8,708	8,883
	TOTAL	56,643	58,292	52,740	49,590	51,858	54,270	55,400	53,807	56,012	54,415	50,758	56,921	69,303	68,595	58,731
		APPLICATIONS APPROVED														
		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	22-23	23-24
	AG	46,144	52,327	45,492	42,618	45,414	47,473	48,152	46,093	48,355	46,992	43,866	48,876	59,903	59,611	49,642
	RA	2,316	4,734	5,791	5,782	5,716	5,844	6,332	6,703	6,581	6,451	5,875	6,932	8,053	7,954	8,180
	TOTAL	48,460	57,061	51,283	48,400	51,130	53,317	54,484	52,796	54,936	53,443	49,741	55,808	67,956	67,565	57,822
		ACTIVE LICENSEES														
		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	22-23	23-24
	AG	238,762	249,088	253,053	256,296	264,233	272,603	279,232	282,918	288,374	293,738	294,944	302,056	314,632	328,734	333,601
	RA	26,621	27,478	29,050	30,389	31,890	33,589	35,223	36,845	37,368	38,787	38,832	40,666	42,491	44,848	47,224
3/21/2025	TOTAL	265,383	276,566	282,103	286,685	296,123	306,192	314,455	319,763	325,742	332,525	333,776	342,722	357,123	373,582	380,825

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

		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	22-23	23-24
	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	321,519	330,797
	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	43,654	45,860
	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	365,173	376,657