

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

<b>APPLICATIONS RECEIVED</b>												
<b>CODE</b>	<b>LICENSE TYPE</b>	<b>FISCAL YEAR</b>										
		<b>09-10</b>	<b>10-11</b>	<b>11-12</b>	<b>12-13</b>	<b>13-14</b>	<b>14-15</b>	<b>15-16</b>	<b>16-17</b>	<b>17-18</b>	<b>18-19</b>	<b>19-20</b>
BD	Broker/Dealer	214	274	243	166	168	184	166	168	148	163	126
BDA	Broker/Dealer Agents (non-FINRA/CRD)	0	2	3	2	2	2	0	3	1	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
CFI	Crowdfunding Intermediary	N/A	N/A	N/A	N/A	N/A	N/A	1	1	1	0	1
CFIO	Crowdfunding Issuer	N/A	N/A	N/A	N/A	N/A	N/A	0	1	0	0	0
IA	Investment Adviser	642	647	872	634	744	806	730	835	959	873	835
IAB	Investment Adviser Branch	42	34	36	53	53	56	50	48	41	32	50
ID	Issuer/Dealer	4	12	14	13	4	4	7	21	17	16	12
IDA	Issuer/Dealer Agents	8	21	37	28	33	17	38	50	36	27	23
IDB	Issuer/Dealer Branch	0	0	0	2	0	0	0	0	0	1	0
	<b>TOTAL</b>	<b>2,704</b>	<b>2,612</b>	<b>2,728</b>	<b>2,244</b>	<b>2,319</b>	<b>2,460</b>	<b>2,380</b>	<b>2,529</b>	<b>2,866</b>	<b>2,652</b>	<b>2,535</b>
<b>APPLICATIONS APPROVED</b>												
<b>CODE</b>	<b>LICENSE TYPE</b>	<b>FISCAL YEAR</b>										
		<b>09-10</b>	<b>10-11</b>	<b>11-12</b>	<b>12-13</b>	<b>13-14</b>	<b>14-15</b>	<b>15-16</b>	<b>16-17</b>	<b>17-18</b>	<b>18-19</b>	<b>19-20</b>
BD	Broker/Dealer	112	214	144	135	110	111	98	113	108	91	72
BDA	Broker/Dealer Agents (non-FINRA/CRD)	0	0	1	2	0	0	0	1	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
CFI	Crowdfunding Intermediary	N/A	N/A	N/A	N/A	N/A	N/A	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
IA	Investment Adviser	542	549	685	709	608	716	728	692	843	768	730
IAB	Investment Adviser Branch	26	30	24	55	49	59	49	43	39	30	48
ID	Issuer/Dealer	3	7	12	5	4	2	3	9	14	2	6
IDA	Issuer/Dealer Agents	11	18	36	21	23	19	34	43	36	9	18
IDB	Issuer/Dealer Branch	0	0	0	0	2	0	0	0	0	0	0
	<b>TOTAL</b>	<b>2,280</b>	<b>2,474</b>	<b>2,327</b>	<b>2,242</b>	<b>2,135</b>	<b>2,298</b>	<b>2,299</b>	<b>2,299</b>	<b>2,701</b>	<b>2,440</b>	<b>2,350</b>
<b>ACTIVE LICENSEES</b>												
<b>CODE</b>	<b>LICENSE TYPE</b>	<b>FISCAL YEAR</b>										
		<b>09-10</b>	<b>10-11</b>	<b>11-12</b>	<b>12-13</b>	<b>13-14</b>	<b>14-15</b>	<b>15-16</b>	<b>16-17</b>	<b>17-18</b>	<b>18-19</b>	<b>19-20</b>
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
BDA	Broker/Dealer Agents (non-FINRA/CRD)	6	0	1	3	3	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
CFI	Crowdfunding Intermediary	N/A	N/A	N/A	N/A	N/A	N/A	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
IA	Investment Adviser	4,587	4,667	4,761	4,961	5,182	5,499	5,754	5,984	6,199	6,399	6,835
IAB	Investment Adviser Branch	66	77	76	110	146	160	179	184	175	166	184

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ID	Issuer/Dealer	87	81	83	73	74	72	72	77	83	72	70
IDA	Issuer/Dealer Agents	173	161	172	140	145	148	157	178	196	176	164
IDB	Issuer/Dealer Branch	1	1	0	0	2	2	2	2	2	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
	<b>RENEWALS AND REACTIVATIONS</b>											
<b>CODE</b>	<b>LICENSE TYPE</b>	<b>FISCAL YEAR</b>										
		<b>09-10</b>	<b>10-11</b>	<b>11-12</b>	<b>12-13</b>	<b>13-14</b>	<b>14-15</b>	<b>15-16</b>	<b>16-17</b>	<b>17-18</b>	<b>18-19</b>	<b>19-20</b>
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
BDA	Broker/Dealer Agents (non-FINRA only)	6	0	1	2	3	1	1	1	1	1	1
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
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
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
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
IAB	Investment Adviser Branch	55	57	70	85	117	131	155	165	167	166	171
ID	Issuer/Dealer	86	79	75	72	74	71	71	70	77	71	65
IDA	Issuer/Dealer Agents	169	156	145	132	118	137	134	149	183	172	151
IDB	Issuer/Dealer Branch	1	1	0	0	2	2	2	2	2	2	2
	TOTAL	17,956	17,589	17,539	17,799	17,914	18,280	18,650	18,863	19,080	19,546	19,799
	<b>CRD AGENTS</b>											
	<b>APPLICATIONS RECEIVED</b>											
		<b>FISCAL YEAR</b>										
		<b>09-10</b>	<b>10-11</b>	<b>11-12</b>	<b>12-13</b>	<b>13-14</b>	<b>14-15</b>	<b>15-16</b>	<b>16-17</b>	<b>17-18</b>	<b>18-19</b>	<b>19-20</b>
	AG	50,964	52,486	46,655	43,624	45,782	47,874	48,616	46,514	48,921	47,429	44,277
	RA	5,679	5,806	6,085	5,966	6,076	6,396	6,784	7,293	7,091	6,986	6,481
	TOTAL	56,643	58,292	52,740	49,590	51,858	54,270	55,400	53,807	56,012	54,415	50,758
	<b>APPLICATIONS APPROVED</b>											
		<b>FISCAL YEAR</b>										
		<b>09-10</b>	<b>10-11</b>	<b>11-12</b>	<b>12-13</b>	<b>13-14</b>	<b>14-15</b>	<b>15-16</b>	<b>16-17</b>	<b>17-18</b>	<b>18-19</b>	<b>19-20</b>
	AG	46,144	52,327	45,492	42,618	45,414	47,473	48,152	46,093	48,355	46,992	43,866
	RA	2,316	4,734	5,791	5,782	5,716	5,844	6,332	6,703	6,581	6,451	5,875
	TOTAL	48,460	57,061	51,283	48,400	51,130	53,317	54,484	52,796	54,936	53,443	49,741
	<b>ACTIVE LICENSEES</b>											
		<b>FISCAL YEAR</b>										
		<b>09-10</b>	<b>10-11</b>	<b>11-12</b>	<b>12-13</b>	<b>13-14</b>	<b>14-15</b>	<b>15-16</b>	<b>16-17</b>	<b>17-18</b>	<b>18-19</b>	<b>19-20</b>
2/4/2021	AG	238,762	249,088	253,053	256,296	264,233	272,603	279,232	282,918	288,374	292,738	294,944
	RA	26,621	27,478	29,050	30,389	31,890	33,589	35,223	36,845	37,368	38,787	38,832

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	TOTAL	265,383	276,566	282,103	286,685	296,123	306,192	314,455	319,763	325,742	332,525	333,776
		<b>RENEWED</b>										
		<b>FISCAL YEAR</b>										
		<b>09-10</b>	<b>10-11</b>	<b>11-12</b>	<b>12-13</b>	<b>13-14</b>	<b>14-15</b>	<b>15-16</b>	<b>16-17</b>	<b>17-18</b>	<b>18-19</b>	<b>19-20</b>
	AG	225,962	233,602	244,155	246,839	254,017	261,344	270,143	274,359	279,056	285,337	289,715
	RA	24,750	25,661	27,022	28,464	30,067	31,541	33,100	34,596	35,674	37,338	38,407
	TOTAL	250,712	259,263	271,177	275,303	284,084	292,885	303,243	308,955	314,730	322,675	328,122