

U.S. IPOs - Screens to "Clean" IPOs - 1998 - 2011

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Dates based on Outcome date (Completion, Withdrawal, Deemed Withdrawal)

"Other" screen includes duplicates, wrong SEC filing types, incorrect filing data

Date: 20150831

| Year | All IPO outcomes | Closed end funds | Inv trusts | REITs | Blank check/ SPACs | Small (<\$10M) offerings | Penny stocks | ADR or ADS | LPs | Unit issues | Shares of Ben. Int. EIS, EDS | Banks S&Ls | Spin offs | Non-primary exchange | Foreign filer | Other | Clean IPO outcomes |
|---------------|------------------|------------------|------------|------------|--------------------|--------------------------|--------------|------------|------------|-------------|------------------------------|------------|------------|----------------------|---------------|------------|--------------------|
| 1998 | 705 | 28 | 23 | 24 | 3 | 66 | 7 | 22 | 5 | 26 | 3 | 55 | 28 | 153 | 184 | 13 | 331 |
| 1999 | 964 | 40 | 32 | 18 | 3 | 40 | 1 | 18 | 3 | 32 | 2 | 47 | 47 | 240 | 269 | 25 | 512 |
| 2000 | 906 | 25 | 3 | 3 | 0 | 31 | 2 | 20 | 2 | 12 | 1 | 18 | 76 | 212 | 259 | 13 | 527 |
| 2001 | 709 | 50 | 38 | 1 | 2 | 12 | 3 | 5 | 4 | 13 | 5 | 19 | 50 | 386 | 397 | 15 | 191 |
| 2002 | 425 | 86 | 77 | 5 | 0 | 12 | 1 | 8 | 8 | 12 | 15 | 14 | 33 | 197 | 196 | 11 | 95 |
| 2003 | 279 | 67 | 47 | 11 | 0 | 26 | 1 | 8 | 3 | 5 | 12 | 19 | 11 | 95 | 87 | 6 | 84 |
| 2004 | 442 | 98 | 63 | 35 | 8 | 22 | 1 | 18 | 6 | 3 | 15 | 15 | 20 | 87 | 73 | 3 | 181 |
| 2005 | 400 | 98 | 68 | 13 | 27 | 23 | 2 | 17 | 8 | 1 | 14 | 12 | 13 | 73 | 59 | 1 | 178 |
| 2006 | 447 | 79 | 52 | 16 | 40 | 28 | 5 | 18 | 16 | 6 | 27 | 15 | 11 | 127 | 122 | 1 | 196 |
| 2007 | 510 | 140 | 102 | 16 | 82 | 14 | 4 | 40 | 18 | 11 | 20 | 24 | 13 | 101 | 121 | 2 | 196 |
| 2008 | 326 | 84 | 16 | 9 | 48 | 43 | 2 | 5 | 11 | 12 | 17 | 17 | 4 | 116 | 108 | 6 | 101 |
| 2009 | 286 | 70 | 14 | 17 | 38 | 43 | 2 | 13 | 6 | 8 | 4 | 12 | 7 | 112 | 105 | 4 | 78 |
| 2010 | 512 | 53 | 30 | 29 | 14 | 91 | 21 | 43 | 8 | 19 | 2 | 24 | 23 | 230 | 194 | 10 | 116 |
| 2011 | 738 | 77 | 38 | 25 | 27 | 265 | 41 | 22 | 21 | 55 | 0 | 39 | 46 | 457 | 217 | 14 | 119 |
| Totals | 7649 | 995 | 603 | 222 | 292 | 716 | 93 | 257 | 119 | 215 | 137 | 330 | 382 | 2586 | 2391 | 124 | 2905 |