



DEPARTMENT OF BANKING  
AND FINANCE

Bureau of Securities  
Monthly Report  
December 2019

**Securities Registrations**

Filing/Security Type	Paper	Electronic	Total
New Mutual Fund Notice Filings	9	142	151
New UIT Notice Filings	92	117	209
Renewal Filings	42	1877	1919
Additions	6	414	420
Oversales	1	86	87
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	0	0	0
BDC	0	0	0
Debt	0	0	0
Qualification	0	0	0
Other	0	0	0
Denials	0	0	0
Sales of Unregistered Securities	0	0	0
Withdrawals	0	0	0

**Exemptions**

Exemption Type	Filings	Withdrawals
8-1108.02(2) Paper	0	1
8-1108.02(2) Electronic	35	6
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	10	0
8-1111(11)(a) and (b)	0	0
8-1111(14)	0	0
8-1111(15)	1	0
8-1111(16)	0	0
8-1111(20)	0	0
8-1111(21)	0	0
8-1111(23)	0	0
Reg A tier 2	6	0
<b>Total Exemptions Received as of December 2019</b>	<b>52</b>	<b>7</b>

**Loan Broker Act**

Activity	Total
New Loan Broker filing	-
Loan Broker amendment filing	-
Loan Broker renewal filing	-
<b>Total Loan Brokers Registered as of December 2019</b>	<b>11</b>

**SAMP Act**

**Business Opportunities**

Activity	Total
New Business Opportunity filing	-
Business Opportunity amendment filing	-
Business Opportunity renewal filing	-
<b>Total filings as of December 2019</b>	<b>4</b>

**Franchise Exemption**

Activity	Total
<b>Franchise Exemption filings Received as of December 2019</b>	<b>13</b>

**Broker-Dealers and Broker-Dealer Agents**

<b>Broker-Dealers</b>			
<b>Activity</b>	<b>FINRA</b>	<b>NON-FINRA</b>	<b>Total</b>
Approved	6	1	7
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	10	0	10
Gain (+) /Loss (-) BD's between November & Decem	-4	1	-3
<b>Total BD's Registered as of December 2019</b>	<b>1,306</b>	<b>28</b>	<b>1,334</b>

<b>Broker-Dealer Agents</b>			
<b>Activity</b>	<b>FINRA</b>	<b>NON-FINRA</b>	<b>Total</b>
Approved	952	0	952
Denied		0	0
Terminations	6,358	2	6,360
Gain (+) /Loss (-) BDA's between November & Decem	-5,406	2	-5,404
<b>Total BDA's Registered as of December 2019</b>	<b>107,127</b>	<b>79</b>	<b>107,206</b>

**Investment Advisers and Representatives**

<b>Investment Advisers</b>			
<b>Activity</b>	<b>Registered</b>	<b>Notice Filed</b>	<b>Total</b>
Approved	4	15	19
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	6	63	69
Gain (+) /Loss (-) IA's between November & Decem	-2	-48	-50
<b>Total IA's Registered as of December 2019</b>	<b>97</b>	<b>1,444</b>	<b>1,541</b>

<b>Investment Adviser Representatives</b>			
<b>Activity</b>	<b>Registered</b>	<b>Notice Filed</b>	<b>Total</b>
Approved	2	28	30
Denied	0	0	0
Terminated	3	141	144
Gain (+) /Loss (-) IAR's between November & Decem	-1	-113	-114
<b>Total IAR's Registered as of December 2019</b>	<b>164</b>	<b>4,197</b>	<b>4,361</b>