



**DEPARTMENT OF BANKING
AND FINANCE**

**Bureau of Securities
Monthly Report
January 2023**

Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	2	48	50
New UIT Notice Filings	159	0	159
Renewal Filings	54	1684	1738
Additions	7	300	307
Oversales	1	68	69
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	10	0	10
BDC	4	0	4
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	88	0
8-1108.02(2) Electronic	0	0
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	6	0
8-1111(11)(a) and (b)	0	0
8-1111(14)	0	0
8-1111(15)	0	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	15	0
Total Exemptions Received as of January 2023	109	0

Loan Broker Act

Activity	Total
New Loan Broker filing	1

Loan Broker amendment filing	0
Loan Broker renewal filing	0
Total Loan Brokers Registered as of January 2023	20

SAMP Act

Business Opportunities

Activity	Total
New Business Opportunity filing	0
Business Opportunity amendment filing	0
Business Opportunity renewal filing	1
Total filings as of January 2023	6

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of January 2023	23



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Broker-Dealers and Broker-Dealer Agents

Broker-Dealers

Activity	FINRA	NON-FINRA
Approved	10	0
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	7	0
Gain (+) /Loss (-) BD's between December and January	3	0
Total BD's Registered as of January 2023	1,326	29

Broker-Dealer Agents

Activity	FINRA	NON-FINRA
Approved	5500	0
Denied		0
Terminations	1,274	0
Gain (+) /Loss (-) BDA's between December and January	4,226	0
Total BDA's Registered as of January 2023	137,380	87

Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed
Approved	5	21
Applications Abandoned	0	0

Applications Denied	0	0
Registrations Terminated/Withdrawn	0	4
Gain (+) /Loss (-) IA's between December and Janu:	5	17
Total IA's Registered as of January 2023	105	1,841

Investment Adviser Representatives

Activity	Registered	Notice Filed
Approved	4	243
Denied	0	0
Terminated	3	159
Gain (+) /Loss (-) IAR's between December and Janu:	1	84
Total IAR's Registered as of January 2023	160	4,652

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ties



Total

10

0

0

7

3

1,355



Total

5,500

0

1,274

4,226

137,467



Total

26

0

0
4
22
1,946



Total
247
0
162
85
4,812