



DEPARTMENT OF BANKING  
AND FINANCE

Bureau of Securities  
Monthly Report  
October 2021

**Securities Registrations**

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	1	86	87
New UIT Notice Filings	139	0	139
Renewal Filings	47	1776	1823
Additions	13	315	328
Oversales	7	55	0
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	9	0	9
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	1	0
8-1108.02(2) Electronic	62	4
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	8	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	16	0
<b>Total Exemptions Received as of October 2021</b>	<b>87</b>	<b>4</b>

**Loan Broker Act**

Activity	Total
New Loan Broker filing	1
Loan Broker amendment filing	-
Loan Broker renewal filing	2
<b>Total Loan Brokers Registered as of October 2021</b>	<b>14</b>

**SAMP Act**

**Business Opportunities**

Activity	Total
New Business Opportunity filing	1
Business Opportunity amendment filing	-
Business Opportunity renewal filing	0
<b>Total filings as of October 2021</b>	<b>4</b>

**Franchise Exemption**

Activity	Total
<b>Franchise Exemption filings Received as of October 2021</b>	<b>16</b>

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

**Broker-Dealers**

Activity	FINRA	NON-FINRA	Total
Approved	6	0	6
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	6	0	6
Gain (+) /Loss (-) BD's between September & October	0	0	0
<b>Total BD's Registered as of October 2021</b>	<b>1,304</b>	<b>29</b>	<b>1,333</b>

**Broker-Dealer Agents**

Activity	FINRA	NON-FINRA	Total
Approved	3133	0	3,133
Denied	0	0	0
Terminations	1,792	0	1,792
Gain (+) /Loss (-) BDA's between September & October	1,341	0	1,341
<b>Total BDA's Registered as of October 2021</b>	<b>122,907</b>	<b>87</b>	<b>122,994</b>

**Investment Advisers and Representatives**

**Investment Advisers**

Activity	Registered	Notice Filed	Total
Approved	2	16	18
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	0	4	4
Gain (+) /Loss (-) IA's between September & October	2	12	14
<b>Total IA's Registered as of October 2021</b>	<b>99</b>	<b>1,735</b>	<b>1,834</b>

**Investment Adviser Representatives**

Activity	Registered	Notice Filed	Total
Approved	7	56	63
Denied	0	0	0
Terminated	4	149	153
Gain (+) /Loss (-) IAR's between September & October	3	-93	-90
<b>Total IAR's Registered as of October 2021</b>	<b>158</b>	<b>4,369</b>	<b>4,527</b>