



DEPARTMENT OF BANKING
AND FINANCE

Bureau of Securities
Monthly Report
January 2020

Securities Registrations

Filing/Security Type	Paper	Electronic	Total
New Mutual Fund Notice Filings	6	48	54
New UIT Notice Filings	138	18	156
Renewal Filings	51	2029	2080
Additions	10	380	390
Oversales	2	85	87
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	14	0	14
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	1	1

Exemptions

Exemption Type	Filings	Withdrawals
8-1108.02(2) Paper	0	1
8-1108.02(2) Electronic	68	7
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	1	0
Total Exemptions Received as of January 2020	77	8

Loan Broker Act

Activity	Total
New Loan Broker filing	-
Loan Broker amendment filing	-
Loan Broker renewal filing	-
Total Loan Brokers Registered as of January 2020	10

SAMP Act

Business Opportunities

Activity	Total
New Business Opportunity filing	-
Business Opportunity amendment filing	-
Business Opportunity renewal filing	-
Total filings as of January 2020	4

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of January 2020	17

Broker-Dealers and Broker-Dealer Agents

Broker-Dealers

Activity	FINRA	NON-FINRA	Total
Approved	1	0	1
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	27	0	27
Gain (+) /Loss (-) BD's between December and Janu	-26	0	-26
Total BD's Registered as of January 2020	1,280	28	1,308

Broker-Dealer Agents

Activity	FINRA	NON-FINRA	Total
Approved	3655	1	3,656
Denied		0	0
Terminations	1,219	2	1,221
Gain (+) /Loss (-) BDA's between December and January	2,436	-1	2,435
Total BDA's Registered as of January 2020	109,563	78	109,641

Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	1	22	23
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	4	1	5
Gain (+) /Loss (-) IA's between December and Janu	-3	23	20
Total IA's Registered as of January 2020	94	1,467	1,561

Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	1	154	155
Denied	0	0	0
Terminated	5	82	87
Gain (+) /Loss (-) IAR's between December and Janu	-4	72	68
Total IAR's Registered as of January 2020	160	4,269	4,429