



DEPARTMENT OF BANKING
AND FINANCE

Bureau of Securities
Monthly Report
May 2020

Securities Registrations

Filing/Security Type	Paper	Electronic	Total
New Mutual Fund Notice Filings	3	74	77
New UIT Notice Filings	85	16	101
Renewal Filings	13	2022	2035
Additions	4	353	357
Oversales	1	64	65
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	0	0	0
BDC	1	0	1
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	0
8-1108.02(2) Electronic	27	8
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)	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	3	0
Total Exemptions Received as of May 2020	40	8

Loan Broker Act

Activity	Total
New Loan Broker filing	2
Loan Broker amendment filing	-
Loan Broker renewal filing	3
Total Loan Brokers Registered as of May 2020	10

SAMP Act

Business Opportunities

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

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of May 2020	17

Broker-Dealers and Broker-Dealer Agents

Broker-Dealers			
Activity	FINRA	NON-FINRA	Total
Approved	4	0	4
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	3	0	3
Gain (+) /Loss (-) BD's between April & May	1	0	1
Total BD's Registered as of May 2020	1,293	29	1,322

Broker-Dealer Agents			
Activity	FINRA	NON-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	1651	0	1,651
Denied		0	0
Terminations	1,190	2	1,192
Gain (+) /Loss (-) BDA's between April & May	461	2	463
Total BDA's Registered as of May 2020	111,407	87	111,494

Investment Advisers and Representatives

Investment Advisers			
Activity	Registered	Notice Filed	Total
Approved	2	11	13
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	2	1	3
Gain (+) /Loss (-) IA's between April & May	0	10	10
Total IA's Registered as of May 2020	97	1,545	1,642

Investment Adviser Representatives			
Activity	Registered	Notice Filed	Total
Approved	2	67	69
Denied	0	0	0
Terminated	5	40	45
Gain (+) /Loss (-) IAR's between April & May	-3	27	24
Total IAR's Registered as of May 2020	158	4,326	4,484