



DEPARTMENT OF BANKING
AND FINANCE

Bureau of Securities
Monthly Report
October 2020

Securities Registrations

Filing/Security Type	Paper	Electronic	Total
New Mutual Fund Notice Filings	3	140	143
New UIT Notice Filings	130	0	130
Renewal Filings	55	1836	1891
Additions	0	309	309
Oversales	0	67	67
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	0
8-1108.02(2) Electronic	45	11
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	10	1
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	6	0
Total Exemptions Received as of October 2020	61	12

Loan Broker Act

Activity	Total
New Loan Broker filing	2
Loan Broker amendment filing	-
Loan Broker renewal filing	0
Total Loan Brokers Registered as of October 2020	13

SAMP Act

Business Opportunities

Activity	Total
New Business Opportunity filing	-
Business Opportunity amendment filing	-
Business Opportunity renewal filing	1
Total filings as of October 2020	4

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of October 2020	18

Broker-Dealers and Broker-Dealer Agents

Broker-Dealers			
Activity	FINRA	NON-FINRA	Total
Approved	5	1	6
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	13	1	14
Gain (+) /Loss (-) BD's between September & October	-8	0	-8
Total BD's Registered as of October 2020	1,284	30	1,314

Broker-Dealer Agents			
Activity	FINRA	NON-FINRA	Total
Approved	2782	0	2,782
Denied	0	0	0
Terminations	1,363	0	1,363
Gain (+) /Loss (-) BDA's between September & October	1,419	0	1,419
Total BDA's Registered as of October 2020	116,031	87	116,118

Investment Advisers and Representatives

Investment Advisers			
Activity	Registered	Notice Filed	Total
Approved	2	21	23
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	2	2	4
Gain (+) /Loss (-) IA's between September & October	0	19	19
Total IA's Registered as of October 2020	103	1,597	1,700

Investment Adviser Representatives			
Activity	Registered	Notice Filed	Total
Approved	3	63	66
Denied	0	0	0
Terminated	9	48	57
Gain (+) /Loss (-) IAR's between September & October	-6	15	9
Total IAR's Registered as of October 2020	169	4,385	4,554