



**DEPARTMENT OF BANKING
AND FINANCE**

**Bureau of Securities
Monthly Report
February 2023**

Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	8	82	90
New UIT Notice Filings	103	0	103
Renewal Filings	31	1950	1981
Additions	8	277	285
Oversales	1	48	49
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	11	0	11
BDC	3	0	3
Debt	0	0	0
Qualification	0	0	0
Other	1	0	1
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	72	7
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	7	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	20	0
Total Exemptions Received as of February 2023	99	8

Loan Broker Act

Activity	Total
New Loan Broker filing	1

Loan Broker amendment filing	0
Loan Broker renewal filing	1
Total Loan Brokers Registered as of February 2023	17

SAMP Act

Business Opportunities

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

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of February 2023	16



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Broker-Dealers and Broker-Dealer Agents

Broker-Dealers

Activity	FINRA	NON-FINRA
Approved	5	0
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	4	0
Gain (+) /Loss (-) BD's between January & February	1	0
Total BD's Registered as of February 2023	1,327	29

Broker-Dealer Agents

Activity	FINRA	NON-FINRA
Approved (Includes Automatic, Manual, Temp. Queues)	2531	0
Denied		0
Terminations	1,312	0
Gain (+) /Loss (-) BDA's between January & February	1,219	0
Total BDA's Registered as of February 2023	138,599	87

Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed
Approved	2	15
Applications Abandoned	0	0

Applications Denied	0	0
Registrations Terminated/Withdrawn	1	9
Gain (+) /Loss (-) IA's between January & February	1	6
Total IA's Registered as of February 2023	106	1,847

Investment Adviser Representatives

Activity	Registered	Notice Filed
Approved	1	69
Denied	0	0
Terminated	1	33
Gain (+) /Loss (-) IAR's between January & February	0	36
Total IAR's Registered as of February 2023	160	4,688

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ties



Total

5

0

0

4

1

1,356



Total

2,531

0

1,312

1,219

138,686



Total

17

0

0
10
7
1,953



Total
70
0
34
36
4,848