

### Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	8	86	94
New UIT Notice Filings	103	0	103
Renewal Filings	31	1960	1991
Additions	8	285	293
Oversales	1	49	50
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	8	0	8
BDC	6	0	6
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
<b>Total Exemptions Received as of February 2023</b>	<b>99</b>	<b>8</b>

### Loan Broker Act

Activity	Total
New Loan Broker filing	1
Loan Broker amendment filing	0

Loan Broker renewal filing	1
<b>Total Loan Brokers Registered as of February 2023</b>	<b>21</b>

### SAMP Act

#### Business Opportunities

Activity	Total
New Business Opportunity filing	0
Business Opportunity amendment filing	0
Business Opportunity renewal filing	0
<b>Total filings as of February 2023</b>	<b>6</b>

#### Franchise Exemption

Activity	Total
<b>Franchise Exemption filings Received as of February 2023</b>	<b>16</b>



## Bureau of Securities Monthly Report

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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Registrations Terminated/Withdrawn	4	0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
<b>Total BD's Registered as of February 2023</b>	<b>1,327</b>	<b>29</b>

#### 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
<b>Total BDA's Registered as of February 2023</b>	<b>138,599</b>	<b>87</b>

### 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Registrations Terminated/Withdrawn	1	9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
<b>Total IA's Registered as of February 2023</b>	<b>106</b>	<b>1,847</b>

### 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
<b>Total IAR's Registered as of February 2023</b>	<b>160</b>	<b>4,688</b>

ties





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