



## Bureau of Securities Monthly Report

March 2023

### Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	4	36	40
New UIT Notice Filings	87	0	87
Renewal Filings	47	2058	2105
Additions	12	303	315
Oversales	4	72	76
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	4	0	4
BDC	4	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	1	0
8-1108.02(2) Electronic	110	9
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	5	1
8-1111(11)(a) and (b)	0	0
8-1111(14)	0	0
8-1111(15)	1	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	25	0
<b>Total Exemptions Received as of March 2023</b>	<b>142</b>	<b>10</b>

### Loan Broker Act

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

Loan Broker renewal filing	1
<b>Total Loan Brokers Registered as of March 2023</b>	<b>21</b>
<b>SAMP Act</b>	
<b>Business Opportunities</b>	
<b>Activity</b>	<b>Total</b>
New Business Opportunity filing	0
Business Opportunity amendment filing	0
Business Opportunity renewal filing	0
<b>Total filings as of March 2023</b>	<b>6</b>
<b>Franchise Exemption</b>	
<b>Activity</b>	<b>Total</b>
Franchise Exemption filings Received as of March 2023	20



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<b>Broker-Dealers and Broker-Dealer Agents</b>	
<b>Broker-Dealers</b>	
<b>Activity</b>	<b>FINRA</b> <b>NON-FINRA</b>
Approved	10   0
Applications Abandoned	0   0
Applications Denied	0   0
Registrations Terminated/Withdrawn	3   0
Gain (+) /Loss (-) BD's between February & March	7   0
<b>Total BD's Registered as of March 2023</b>	<b>1,334</b> <b>29</b>

<b>Broker-Dealer Agents</b>	
<b>Activity</b>	<b>FINRA</b> <b>NON-FINRA</b>
Approved (Includes Automatic, Manual, Temp. Queues)	3,625   0
Denied	0   0
Terminations	1,559   0
Gain (+) /Loss (-) BDA's between February & March	2,066   0
<b>Total BDA's Registered as of March 2023</b>	<b>140,665</b> <b>87</b>

<b>Investment Advisers and Representatives</b>	
<b>Investment Advisers</b>	
<b>Activity</b>	<b>Registered</b> <b>Notice Filed</b>
Approved	1   78
Applications Abandoned	0   0
Applications Denied	0   0
Registrations Terminated/Withdrawn	0   16

Gain (+) /Loss (-) IA's between February & March	1	62
<b>Total IA's Registered as of March 2023</b>	<b>107</b>	<b>1,909</b>

#### Investment Adviser Representatives

Activity	Registered	Notice Filed
Approved	0	63
Denied	0	0
Terminated	1	36
Gain (+) /Loss (-) IAR's between February & March	-1	27
<b>Total IAR's Registered as of March 2023</b>	<b>159</b>	<b>4,715</b>

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## ties



### Total

10

0

0

3

7

**1,363**



### Total

3,625

0

1,559

2,066

**140,752**



### Total

79

0

0

16

63  
**2,016**

**Total**  
63  
0  
37  
26  
**4,874**