

Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	3	154	157
New UIT Notice Filings	102	0	102
Renewal Filings	50	2164	2214
Additions	17	222	239
Oversales	17	27	44
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	15	0	15
BDC	3	0	3
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	2	0
8-1108.02(2) Electronic	46	0
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	7	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	30	0
Total Exemptions Received as of May 2023	85	0

Loan Broker Act

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

Loan Broker renewal filing	2
Total Loan Brokers Registered as of May 2023	21

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 May 2023	6

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of May 2023	40



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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Registrations Terminated/Withdrawn	0	0
Gain (+) /Loss (-) BD's between April & May	5	0
Total BD's Registered as of May 2023	1,348	30

Broker-Dealer Agents

Activity	FINRA	NON-FINRA
Approved (Includes Automatic, Manual, Temp. Queues)	2691	0
Denied		0
Terminations	2,352	0
Gain (+) /Loss (-) BDA's between April & May	339	0
Total BDA's Registered as of May 2023	142,102	88

Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed
Approved	0	1
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	0	6

Gain (+) /Loss (-) IA's between April & May	0	7
Total IA's Registered as of May 2023	111	1,927

Investment Adviser Representatives

Activity	Registered	Notice Filed
Approved	1	100
Denied	0	0
Terminated	1	140
Gain (+) /Loss (-) IAR's between April & May	0	-40
Total IAR's Registered as of May 2023	163	4,625

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ties



Total

5

0

0

0

5

1,378



Total

2,691

0

2,352

339

142,190



Total

1

0

0

6

7
2,038



Total
101
0
141
-40
4,788