



**DEPARTMENT OF BANKING
AND FINANCE**

**Bureau of Securities
Monthly Report**

June 2023

Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	5	56	61
New UIT Notice Filings	71	0	71
Renewal Filings	22	2143	2165
Additions	8	233	241
Oversales	9	31	40
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	10	0	10
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	24	1
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	4	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	21	0
Total Exemptions Received as of June 2023	49	1

Loan Broker Act

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

Loan Broker renewal filing	0
Total Loan Brokers Registered as of June 2023	21

SAMP Act

Business Opportunities

Activity	Total
New Business Opportunity filing	1
Business Opportunity amendment filing	0
Business Opportunity renewal filing	0
Total filings as of June 2023	7

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of June 2023	16



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Broker-Dealers and Broker-Dealer Agents

Broker-Dealers

Activity	FINRA	NON-FINRA
Approved	7	0
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	8	0
Gain (+) /Loss (-) BD's between May & June	-1	0
Total BD's Registered as of June 2023	1,347	30

Broker-Dealer Agents

Activity	FINRA	NON-FINRA
Approved (Includes Automatic, Manual, Temp. Queues)	2633	0
Denied		0
Terminations	1,726	0
Gain (+) /Loss (-) BDA's between May & June	907	0
Total BDA's Registered as of June 2023	143,009	88

Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed
Approved	1	12
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	0	2

Gain (+) /Loss (-) IA's between May & June	1	10
Total IA's Registered as of June 2023	112	1,937

Investment Adviser Representatives

Activity	Registered	Notice Filed
Approved	2	108
Denied	0	0
Terminated	2	119
Gain (+) /Loss (-) IAR's between May & June	0	-11
Total IAR's Registered as of June 2023	163	4,614

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ties



Total
7
0
0
8
-1
1,377



Total
2,633
0
1,726
907
143,097



Total
13
0
0
2

11
2,049



Total
110
0
121
-11
4,777