



**Bureau of Securities  
Monthly Report**  
July 2023

**Securities Registrations**

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	9	13	22
New UIT Notice Filings	126	16	142
Renewal Filings	61	1787	1848
Additions	17	206	223
Oversales	22	28	50
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	13	0	13
BDC	9	0	9
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	1	1

**Exemptions**

Exemption Type	Filings	Withdrawals
8-1108.02(2) Paper	0	0
8-1108.02(2) Electronic	8	0
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	0	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	14	0
<b>Total Exemptions Received as of July 2023</b>	<b>22</b>	<b>0</b>

**Loan Broker Act**

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

Loan Broker renewal filing	0
<b>Total Loan Brokers Registered as of July 2023</b>	<b>18</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 July 2023</b>	<b>6</b>

### Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of July 2023	17



## Bureau of Securities Monthly Report

July 2023

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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Registrations Terminated/Withdrawn	4	0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 June & July 2021	1	0
<b>Total BD's Registered as of July 2023</b>	<b>1,348</b>	<b>30</b>

#### Broker-Dealer Agents

Activity	FINRA	NON-FINRA
Approved	2,268	0
Denied	0	0
Terminations	1,751	0
Gain (+) /Loss (-) BDA's between June & July 2021	517	0
<b>Total BDA's Registered as of July 2023</b>	<b>143,526</b>	<b>88</b>

### Investment Advisers and Representatives

#### Investment Advisers

Activity	Registered	Notice Filed
Approved	4	8
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	1	4

Gain (+) /Loss (-) IA's between June & July 2021	3	4
<b>Total IA's Registered as of July 2023</b>	<b>115</b>	<b>1,941</b>

#### Investment Adviser Representatives

Activity	Registered	Notice Filed
Approved	7	87
Denied	0	0
Terminated	1	128
Gain (+) /Loss (-) IAR's between June & July 2021	6	-41
<b>Total IAR's Registered as of July 2023</b>	<b>169</b>	<b>4,573</b>

ties





## ties



### Total

5

0

0

4

1

**1,378**



### Total

2,268

0

1,751

517

**143,614**



### Total

12

0

0

5

7  
**2,056**

**Total**  
94  
0  
129  
-35  
**4,742**



## Bureau of Securities Monthly Report

August 2023

### Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	7	34	41
New UIT Notice Filings	107	0	107
Renewal Filings	32	1801	1833
Additions	13	216	229
Oversales	13	31	44
Common Stock	0	0	0
Limited Partnerships	1	0	1
Preferred Stock	0	0	0
REIT	7	0	7
BDC	5	0	5
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	3	0
8-1108.02(2) Electronic	97	0
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	9	0
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	11	0
<b>Total Exemptions Received as of August 2023</b>	<b>121</b>	<b>0</b>

### Loan Broker Act

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

Loan Broker renewal filing	0
<b>Total Loan Brokers Registered as of August 2023</b>	<b>18</b>
<b>SAMP Act</b>	
<b>Business Opportunities</b>	

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

Activity	Total
Franchise Exemption filings Received as of August 2023	22



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August 2023  
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Broker-Dealers and Broker-Dealer Agents		
Broker-Dealers		
Activity	FINRA	NON-FINRA
Approved	6	0
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	8	0
Gain (+) /Loss (-) BD's between July & August	-2	0
<b>Total BD's Registered as of August 2023</b>	<b>1,346</b>	<b>30</b>

Broker-Dealer Agents		
Activity	FINRA	NON-FINRA
Approved	3,342	0
Denied	0	0
Terminations	2,373	0
Gain (+) /Loss (-) BDA's between July & August	969	0
<b>Total BDA's Registered as of August 2023</b>	<b>144,495</b>	<b>88</b>

Investment Advisers and Representatives		
Investment Advisers		
Activity	Registered	Notice Filed
Approved	5	20
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	0	4

Gain (+) /Loss (-) IA's between July & August	5	16
<b>Total IA's Registered as of August 2023</b>	<b>120</b>	<b>1,957</b>

#### Investment Adviser Representatives

Activity	Registered	Notice Filed
Approved	3	142
Denied	0	0
Terminated	0	70
Gain (+) /Loss (-) IAR's between July & August	3	72
<b>Total IAR's Registered as of August 2023</b>	<b>172</b>	<b>4,645</b>

ties





ties



**Total**

6

0

0

8

-2

**1,376**



**Total**

3,342

0

2,373

969

**144,583**



**Total**

25

0

0

4

21  
**2,077**

**Total**  
145  
0  
70  
75  
**4,817**



## Bureau of Securities Monthly Report

September 2023

### Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	0	43	43
New UIT Notice Filings	89	0	89
Renewal Filings	20	1904	1924
Additions	8	286	294
Oversales	10	44	54
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	0	0	0
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	0	0
8-1108.02(2) Electronic	48	21
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	5	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	8	0
<b>Total Exemptions Received as of September 2023</b>	<b>61</b>	<b>21</b>

### Loan Broker Act

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

Loan Broker renewal filing	0
<b>Total Loan Brokers Registered as of September 2023</b>	<b>18</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 September 2023</b>	<b>6</b>

### Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of September 2023	35



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September 2023

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### Broker-Dealers and Broker-Dealer Agents

#### Broker-Dealers

Activity	FINRA	NON-FINRA
Approved	4	0
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	8	0
Gain (+) /Loss (-) BD's between August & September	-4	0
<b>Total BD's Registered as of September 2023</b>	<b>1,342</b>	<b>30</b>

#### Broker-Dealer Agents

Activity	FINRA	NON-FINRA
Approved	3,742	0
Denied	0	0
Terminations	3,788	0
Gain (+) /Loss (-) BDA's between August & September	-46	0
<b>Total BDA's Registered as of September 2023</b>	<b>144,449</b>	<b>88</b>

### Investment Advisers and Representatives

#### Investment Advisers

Activity	Registered	Notice Filed
Approved	0	14
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	0	5

Gain (+) /Loss (-) IA's between August & Septembe	0	9
<b>Total IA's Registered as of September 2023</b>	<b>120</b>	<b>1,966</b>

#### Investment Adviser Representatives

Activity	Registered	Notice Filed
Approved	1	89
Denied	0	0
Terminated	1	75
Gain (+) /Loss (-) IAR's between August & Septembe	0	14
<b>Total IAR's Registered as of September 2023</b>	<b>172</b>	<b>4,659</b>

ties





ties



**Total**

4

0

0

8

-4

**1,372**



**Total**

3,742

0

3,788

-46

**144,537**



**Total**

14

0

0

5

9  
**2,086**

**Total**  
90  
0  
76  
14  
**4,831**



## Bureau of Securities Monthly Report

October 2023

### Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	0	53	53
New UIT Notice Filings	144	0	144
Renewal Filings	39	1969	2008
Increases	9	235	244
Oversales	15	20	35
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	2	0	2
BDC	6	0	6
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	47	0
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	16	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	1	0
<b>Total Exemptions Received as of October 2023</b>	<b>64</b>	<b>0</b>

### Loan Broker Act

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

Loan Broker renewal filing	0
<b>Total Loan Brokers Registered as of October 2023</b>	<b>18</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 October 2023</b>	<b>6</b>

### Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of October 2023	12



## Bureau of Securities Monthly Report

October 2023

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### Broker-Dealers and Broker-Dealer Agents

#### Broker-Dealers

Activity	FINRA	NON-FINRA
Approved	3	0
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	12	1
Gain (+) /Loss (-) BD's between September & October	-9	-1
<b>Total BD's Registered as of October 2023</b>	<b>1,333</b>	<b>29</b>

#### Broker-Dealer Agents

Activity	FINRA	NON-FINRA
Approved	2583	0
Denied	0	0
Terminations	1,652	1
Gain (+) /Loss (-) BDA's between September & October	931	-1
<b>Total BDA's Registered as of October 2023</b>	<b>145,380</b>	<b>87</b>

### Investment Advisers and Representatives

#### Investment Advisers

Activity	Registered	Notice Filed
Approved	1	7
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	0	49

Gain (+) /Loss (-) IA's between September & Octob	1	-42
<b>Total IA's Registered as of October 2023</b>	<b>121</b>	<b>1,924</b>

#### Investment Adviser Representatives

Activity	Registered	Notice Filed
Approved	2	53
Denied	0	0
Terminated	1	29
Gain (+) /Loss (-) IAR's between September & Octob	1	24
<b>Total IAR's Registered as of October 2023</b>	<b>173</b>	<b>4,683</b>

ties





## ties



### Total

3

0

0

13

-10

**1,362**



### Total

2,583

0

1,653

930

**145,467**



### Total

8

0

0

49

-41  
**2,045**

**Total**  
55  
0  
30  
25  
**4,856**



## Bureau of Securities Monthly Report

November 2023

### Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	4	36	40
New UIT Notice Filings	98	0	98
Renewal Filings	68	1724	1792
Increases	17	211	228
Oversales	8	32	40
Common Stock	0	0	0
Limited Partnerships	4	0	4
Preferred Stock	0	0	0
REIT	9	0	9
BDC	1	0	1
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	81	0
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	2	0
<b>Total Exemptions Received as of November 2023</b>	<b>87</b>	<b>0</b>

### Loan Broker Act

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

Loan Broker renewal filing	0
<b>Total Loan Brokers Registered as of November 2023</b>	<b>19</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 November 2023</b>	<b>6</b>

### Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of November 2023	17



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November 2023

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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	17	0
Gain (+) /Loss (-) BD's between October & November	-12	0
<b>Total BD's Registered as of November 2023</b>	<b>1,321</b>	<b>29</b>

#### Broker-Dealer Agents

Activity	FINRA	NON-FINRA
Approved	2408	0
Denied		0
Terminations	1,961	0
Gain (+) /Loss (-) BDA's between October & November	447	0
<b>Total BDA's Registered as of November 2023</b>	<b>145,827</b>	<b>87</b>

### Investment Advisers and Representatives

#### Investment Advisers

Activity	Registered	Notice Filed
Approved	0	20
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	2	33

Gain (+) /Loss (-) IA's between October & November	-2	53
<b>Total IA's Registered as of November 2023</b>	<b>119</b>	<b>1,977</b>

#### Investment Adviser Representatives

Activity	Registered	Notice Filed
Approved	0	85
Denied	0	0
Terminated	2	69
Gain (+) /Loss (-) IAR's between October & November	-2	16
<b>Total IAR's Registered as of November 2023</b>	<b>171</b>	<b>4,699</b>

ties





## ties



### Total

5

0

0

17

-12

**1,350**



### Total

2,408

0

1,961

447

**145,914**



### Total

20

0

0

35

51  
**2,096**

**Total**  
85  
0  
71  
14  
**4,870**



## Bureau of Securities Monthly Report

December 2023

### Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	0	36	36
New UIT Notice Filings	87	0	87
Renewal Filings	23	1902	1925
Additions	10	348	358
Oversales	18	37	55
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	4	0	4
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	1	0
8-1108.02(2) Electronic	97	3
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	3	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	2	0
<b>Total Exemptions Received as of December 2023</b>	<b>103</b>	<b>3</b>

### Loan Broker Act

Activity	Total
New Loan Broker filing	0
Loan Broker amendment filing	2

Loan Broker renewal filing	0
<b>Total Loan Brokers Registered as of December 2023</b>	<b>19</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 December 2023</b>	<b>6</b>

### Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of December 2023	14



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December 2023

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### Broker-Dealers and Broker-Dealer Agents

#### Broker-Dealers

Activity	FINRA	NON-FINRA
Approved	2	0
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	15	0
Gain (+) /Loss (-) BD's between November & Decem	-13	0
<b>Total BD's Registered as of December 2023</b>	<b>1,308</b>	<b>29</b>

#### Broker-Dealer Agents

Activity	FINRA	NON-FINRA
Approved	1,409	0
Denied		0
Terminations	7,637	0
Gain (+) /Loss (-) BDA's between November & Decem	-6,228	0
<b>Total BDA's Registered as of December 2023</b>	<b>139,599</b>	<b>87</b>

### Investment Advisers and Representatives

#### Investment Advisers

Activity	Registered	Notice Filed
Approved	3	10
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	6	111

Gain (+) /Loss (-) IA's between November & Decem	-3	-101
<b>Total IA's Registered as of December 2023</b>	<b>116</b>	<b>1,876</b>

#### Investment Adviser Representatives

Activity	Registered	Notice Filed
Approved	3	45
Denied	0	0
Terminated	6	160
Gain (+) /Loss (-) IAR's between November & Decem	-3	-115
<b>Total IAR's Registered as of December 2023</b>	<b>168</b>	<b>4,584</b>

ties





## ties



### Total

2

0

0

15

-13

**1,337**



### Total

1,409

0

7,637

-6,228

**139,686**



### Total

13

0

0

117

-104  
**1,992**

**Total**  
48  
0  
166  
-118  
**4,752**



## Bureau of Securities Monthly Report

January 2024

### Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	4	105	109
New UIT Notice Filings	161	0	161
Renewal Filings	48	1657	1705
Additions	13	353	366
Oversales	31	47	78
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	2	0	2
BDC	6	0	6
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	67	0
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)	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	0	0
<b>Total Exemptions Received as of January 2024</b>	<b>73</b>	<b>0</b>

### Loan Broker Act

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

Loan Broker renewal filing	0
<b>Total Loan Brokers Registered as of January 2024</b>	<b>20</b>
<b>SAMP Act</b>	
<b>Business Opportunities</b>	

Activity	Total
New Business Opportunity filing	0
Business Opportunity amendment filing	0
Business Opportunity renewal filing	0
<b>Total filings as of January 2024</b>	<b>6</b>

Activity	Total
Franchise Exemption filings Received as of January 2024	12



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Broker-Dealers and Broker-Dealer Agents		
Broker-Dealers		
Activity	FINRA	NON-FINRA
Approved	10	0
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	14	3
Gain (+) /Loss (-) BD's between December and January	-4	-3
<b>Total BD's Registered as of January 2024</b>	<b>1,304</b>	<b>26</b>

Broker-Dealer Agents		
Activity	FINRA	NON-FINRA
Approved	5500	0
Denied		0
Terminations	7,719	30
Gain (+) /Loss (-) BDA's between December and January	-2,219	-30
<b>Total BDA's Registered as of January 2024</b>	<b>137,380</b>	<b>57</b>

Investment Advisers and Representatives		
Investment Advisers		
Activity	Registered	Notice Filed
Approved	3	28
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	3	2

Gain (+) /Loss (-) IA's between December and January	0	26
<b>Total IA's Registered as of January 2024</b>	<b>116</b>	<b>1,902</b>

#### Investment Adviser Representatives

Activity	Registered	Notice Filed
Approved	4	138
Denied	0	0
Terminated	12	124
Gain (+) /Loss (-) IAR's between December and January	-8	14
<b>Total IAR's Registered as of January 2024</b>	<b>160</b>	<b>4,598</b>

ties





ties



**Total**

10

0

0

17

-7

**1,330**



**Total**

5,500

0

7,749

-2,249

**137,437**



**Total**

31

0

0

5

26  
**2,018**

**Total**  
142  
0  
136  
6  
**4,758**



## Bureau of Securities Monthly Report

February 2024

### Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	9	15	24
New UIT Notice Filings	100	0	100
Renewal Filings	38	1897	1935
Additions	15	346	361
Oversales	30	35	65
Common Stock	0	0	0
Limited Partnerships	4	0	4
Preferred Stock	0	0	0
REIT	11	0	11
BDC	8	0	8
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	69	12
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	3	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	0	0
<b>Total Exemptions Received as of February 2024</b>	<b>72</b>	<b>12</b>

### Loan Broker Act

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

Loan Broker renewal filing	0
<b>Total Loan Brokers Registered as of February 2024</b>	<b>20</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 2024</b>	<b>6</b>

### Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of February 2024	19



## Bureau of Securities Monthly Report

February 2024

Page 2

### Broker-Dealers and Broker-Dealer Agents

#### Broker-Dealers

Activity	FINRA	NON-FINRA
Approved	6	0
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	3	0
Gain (+) /Loss (-) BD's between January & February	3	0
<b>Total BD's Registered as of February 2024</b>	<b>1,307</b>	<b>26</b>

#### Broker-Dealer Agents

Activity	FINRA	NON-FINRA
Approved (Includes Automatic, Manual, Temp. Queues)	2013	0
Denied		0
Terminations	3,651	0
Gain (+) /Loss (-) BDA's between January & February	5,664	0
<b>Total BDA's Registered as of February 2024</b>	<b>143,044</b>	<b>57</b>

### Investment Advisers and Representatives

#### Investment Advisers

Activity	Registered	Notice Filed
Approved	0	28
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	0	11

Gain (+) /Loss (-) IA's between January & February	0	17
<b>Total IA's Registered as of February 2024</b>	<b>116</b>	<b>1,919</b>

#### Investment Adviser Representatives

Activity	Registered	Notice Filed
Approved	6	66
Denied	0	0
Terminated	12	22
Gain (+) /Loss (-) IAR's between January & February	18	88
<b>Total IAR's Registered as of February 2024</b>	<b>178</b>	<b>4,686</b>

ties





## ties



Total
6
0
0
3
3
<b>1,333</b>



Total
2,013
0
3,651
5,664
<b>143,101</b>



Total
28
0
0
11

17  
**2,035**

**Total**  
72  
0  
34  
106  
**4,864**



## Bureau of Securities Monthly Report

March 2024

### Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	14	30	44
New UIT Notice Filings	91	0	91
Renewal Filings	53	1737	1790
Additions	10	335	345
Oversales	11	37	48
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	0	0	0
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	57	0
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	0	0
<b>Total Exemptions Received as of March 2024</b>	<b>61</b>	<b>0</b>

### Loan Broker Act

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

Loan Broker renewal filing	0
<b>Total Loan Brokers Registered as of March 2024</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 March 2024</b>	<b>6</b>

### Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of March 2024	19



## Bureau of Securities Monthly Report

March 2024

Page 2

### Broker-Dealers and Broker-Dealer Agents

#### Broker-Dealers

Activity	FINRA	NON-FINRA
Approved	8	0
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	0	0
Gain (+) /Loss (-) BD's between March & April	8	0
<b>Total BD's Registered as of March 2024</b>	<b>1,315</b>	<b>26</b>

#### Broker-Dealer Agents

Activity	FINRA	NON-FINRA
Approved (Includes Automatic, Manual, Temp. Queues)	2198	1
Denied	0	0
Terminations	1,573	0
Gain (+) /Loss (-) BDA's between March & April	625	1
<b>Total BDA's Registered as of March 2024</b>	<b>143,669</b>	<b>58</b>

### Investment Advisers and Representatives

#### Investment Advisers

Activity	Registered	Notice Filed
Approved	2	78
Applications Abandoned	0	65
Applications Denied	0	0
Registrations Terminated/Withdrawn	2	30

Gain (+) /Loss (-) IA's between March & April	0	48
<b>Total IA's Registered as of March 2024</b>	<b>116</b>	<b>1,967</b>

#### Investment Adviser Representatives

Activity	Registered	Notice Filed
Approved	3	63
Denied	0	0
Terminated	3	99
Gain (+) /Loss (-) IAR's between March & April	0	-36
<b>Total IAR's Registered as of March 2024</b>	<b>178</b>	<b>4,650</b>

ties





ties



**Total**

8

0

0

0

8

**1,341**



**Total**

2,199

0

1,573

626

**143,727**



**Total**

80

65

0

32

48  
**2,083**

**Total**  
66  
0  
102  
-36  
**4,828**



## Bureau of Securities Monthly Report

April 2024

### Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	2	38	40
New UIT Notice Filings	161	0	161
Renewal Filings	47	2076	2123
Additions	11	391	402
Oversales	29	42	71
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	0	0	0
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	40	18
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)	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	0	0
<b>Total Exemptions Received as of April 2024</b>	<b>45</b>	<b>18</b>

### Loan Broker Act

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

Loan Broker renewal filing	0
<b>Total Loan Brokers Registered as of April 2024</b>	<b>22</b>
<b>SAMP Act</b>	
<b>Business Opportunities</b>	

Activity	Total
New Business Opportunity filing	0
Business Opportunity amendment filing	0
Business Opportunity renewal filing	0
<b>Total filings as of April 2024</b>	<b>6</b>
<b>Franchise Exemption</b>	
Activity	Total
Franchise Exemption filings Received as of April 2024	25



## Bureau of Securities Monthly Report

April 2024  
Page 2

Broker-Dealers and Broker-Dealer Agents		
Broker-Dealers		
<b>Activity</b>	<b>FINRA</b>	<b>NON-FINRA</b>
Approved	3	0
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	4	0
Gain (+) /Loss (-) BD's between March & April	-1	0
<b>Total BD's Registered as of April 2024</b>	<b>1,314</b>	<b>26</b>

Broker-Dealer Agents		
<b>Activity</b>	<b>FINRA</b>	<b>NON-FINRA</b>
Approved (Includes Automatic, Manual, Temp. Queues)	2466	0
Denied		0
Terminations	1,845	2
Gain (+) /Loss (-) BDA's between March & April	621	0
<b>Total BDA's Registered as of April 2024</b>	<b>144,290</b>	<b>56</b>

Investment Advisers and Representatives		
Investment Advisers		
<b>Activity</b>	<b>Registered</b>	<b>Notice Filed</b>
Approved	3	18
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	1	2

Gain (+) /Loss (-) IA's between March & April	2	16
<b>Total IA's Registered as of April 2024</b>	<b>118</b>	<b>1,983</b>

#### Investment Adviser Representatives

Activity	Registered	Notice Filed
Approved	2	76
Denied	0	0
Terminated	4	18
Gain (+) /Loss (-) IAR's between March & April	-2	58
<b>Total IAR's Registered as of April 2024</b>	<b>176</b>	<b>4,708</b>

ties





ties



**Total**

3

0

0

4

-1

**1,340**



**Total**

2,466

0

1,847

621

**144,346**



**Total**

21

0

0

3

18  
**2,101**

**Total**  
78  
0  
22  
56  
**4,884**



## Bureau of Securities Monthly Report

May 2024

### Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	4	34	38
New UIT Notice Filings	89	0	89
Renewal Filings	48	2112	2160
Additions	8	326	334
Oversales	16	37	53
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	4	0	4
BDC	13	0	13
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	36	0
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	9	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	0	0
<b>Total Exemptions Received as of May 2024</b>	<b>45</b>	<b>0</b>

### Loan Broker Act

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

Loan Broker renewal filing	2
<b>Total Loan Brokers Registered as of May 2024</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 May 2024</b>	<b>6</b>

### Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of May 2024	24



## Bureau of Securities Monthly Report

May 2024

Page 2

### Broker-Dealers and Broker-Dealer Agents

#### Broker-Dealers

Activity	FINRA	NON-FINRA
Approved	6	0
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	9	0
Gain (+) /Loss (-) BD's between April & May	-3	0
<b>Total BD's Registered as of May 2024</b>	<b>1,311</b>	<b>26</b>

#### Broker-Dealer Agents

Activity	FINRA	NON-FINRA
Approved (Includes Automatic, Manual, Temp. Queues)	2797	0
Denied		
Terminations	3,530	0
Gain (+) /Loss (-) BDA's between April & May	-733	0
<b>Total BDA's Registered as of May 2024</b>	<b>143,557</b>	<b>56</b>

### Investment Advisers and Representatives

#### Investment Advisers

Activity	Registered	Notice Filed
Approved	2	18
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	1	5

Gain (+) /Loss (-) IA's between April & May	1	13
<b>Total IA's Registered as of May 2024</b>	<b>119</b>	<b>1,996</b>

#### Investment Adviser Representatives

Activity	Registered	Notice Filed
Approved	4	75
Denied	0	0
Terminated	3	106
Gain (+) /Loss (-) IAR's between April & May	1	-31
<b>Total IAR's Registered as of May 2024</b>	<b>177</b>	<b>4,677</b>

ties





## ties



### Total

6

0

0

9

-3

**1,337**



### Total

2,797

0

3,530

-733

**143,613**



### Total

20

0

0

6

14  
**2,115**

**Total**  
79  
0  
109  
-30  
**4,854**



## Bureau of Securities Monthly Report

June 2024

### Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	0	49	49
New UIT Notice Filings	96	0	96
Renewal Filings	32	1659	1691
Additions	9	280	289
Oversales	10	38	48
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	4	0	4
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	4	0
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	3	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	0	0
<b>Total Exemptions Received as of June 2024</b>	<b>7</b>	<b>0</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 June 2024</b>	<b>16</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 June 2024</b>	<b>6</b>
<b>Franchise Exemption</b>	
<b>Activity</b>	<b>Total</b>
Franchise Exemption filings Received as of June 2024	13



**Bureau of Securities**  
**Monthly Report**  
June 2024  
Page 2

<b>Broker-Dealers and Broker-Dealer Agents</b>		
<b>Broker-Dealers</b>		
<b>Activity</b>	<b>FINRA</b>	<b>NON-FINRA</b>
Approved	6	1
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	7	0
Gain (+) /Loss (-) BD's between May & June	-1	0
<b>Total BD's Registered as of June 2024</b>	<b>1,310</b>	<b>27</b>

<b>Broker-Dealer Agents</b>		
<b>Activity</b>	<b>FINRA</b>	<b>NON-FINRA</b>
Approved (Includes Automatic, Manual, Temp. Queues)	2558	0
Denied		0
Terminations	2,001	0
Gain (+) /Loss (-) BDA's between May & June	557	0
<b>Total BDA's Registered as of June 2024</b>	<b>144,114</b>	<b>63</b>

<b>Investment Advisers and Representatives</b>		
<b>Investment Advisers</b>		
<b>Activity</b>	<b>Registered</b>	<b>Notice Filed</b>
Approved	5	9
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	0	1

Gain (+) /Loss (-) IA's between May & June	5	8
<b>Total IA's Registered as of June 2024</b>	<b>124</b>	<b>2,004</b>

#### Investment Adviser Representatives

Activity	Registered	Notice Filed
Approved	6	237
Denied	0	0
Terminated	3	203
Gain (+) /Loss (-) IAR's between May & June	3	34
<b>Total IAR's Registered as of June 2024</b>	<b>180</b>	<b>4,711</b>

ties





ties



**Total**

7

0

0

7

-1

**1,337**



**Total**

2,558

0

2,001

557

**144,177**



**Total**

14

0

0

1

13  
**2,128**

**Total**  
243  
0  
206  
37  
**4,891**



**DEPARTMENT OF BANKING  
AND FINANCE**

**Bureau of Securities  
Yearly Report**

June 2024

**Securities Registrations**

Filing/Security Type	Manual	Electronic	Total
	53	486	539
New Mutual Fund Notice Filings	1,349	16	1,365
New UIT Notice Filings	509	22,225	22,734
Renewal Filings	140	3,533	3,673
Additions	213	428	641
Oversales	0	0	0
Common Stock	9	0	9
Limited Partnerships	0	0	0
Preferred Stock	56	0	56
REIT	60	0	60
BDC	0	0	0
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	1	1

**Exemptions**

Exemption Type	Filings	Withdrawals
8-1108.02(2) Paper	5	0
8-1108.02(2) Electronic	651	54
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	64	0
8-1111(11)(a) and (b)	0	0
8-1111(14)	0	0
8-1111(15)	3	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	38	0
<b>Total Exemptions Received as of June 2024</b>	<b>761</b>	<b>54</b>

**Loan Broker Act**

Activity	Total
New Loan Broker filing	4
Loan Broker amendment filing	2

Loan Broker renewal filing	3
<b>Total Loan Brokers Registered as of June 2024</b>	<b>15</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 June 2024</b>	<b>6</b>

### Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of June 2024	229



## Bureau of Securities Yearly Report

June 2023

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### Broker-Dealers and Broker-Dealer Agents

#### Broker-Dealers

Activity	FINRA	NON-FINRA
Approved	64	1
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	-101	-1
Gain (+) /Loss (-) BD's between June 22 & June 23	-37	0
<b>Total BD's Registered as of June 2024</b>	<b>1,310</b>	<b>27</b>

#### Broker-Dealer Agents

Activity	FINRA	NON-FINRA
Approved (Includes Automatic, Manual, Temp. Queues)	33,284	1
Denied	0	0
Terminations	-32,179	-26
Gain (+) /Loss (-) BDA's between June 22 & June 23	1,105	-25
<b>Total BDA's Registered as of June 2024</b>	<b>144,114</b>	<b>63</b>

### Investment Advisers and Representatives

#### Investment Advisers

Activity	Registered	Notice Filed
Approved	28	258
Applications Abandoned	0	65
Applications Denied	0	0
Registrations Terminated/Withdrawn	-16	-191

Gain (+) /Loss (-) IA's between June 22 & June 23	12	67
<b>Total IA's Registered as of June 2024</b>	<b>124</b>	<b>2,004</b>

#### Investment Adviser Representatives

Activity	Registered	Notice Filed
Approved	41	1,156
Denied	0	0
Terminated	48	1,103
Gain (+) /Loss (-) IAR's between June 22 & June 23	17	97
<b>Total IAR's Registered as of June 2024</b>	<b>180</b>	<b>4,711</b>

ties





## ties



### Total

65

0

0

-102

-37

**1,337**



### Total

33,285

0

-32,205

1,080

**144,177**



### Total

286

65

0

-207

79  
**2,128**

**Total**  
1,197  
0  
1,151  
114  
**4,891**