



## 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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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Registrations Terminated/Withdrawn	8	0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Registrations Terminated/Withdrawn	0	4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**