

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
Total Exemptions Received as of September 2023	61	21

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 September 2023	18

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 September 2023	6

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of September 2023	35



Bureau of Securities Monthly Report

September 2023

Page 2

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Registrations Terminated/Withdrawn	8	0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
Total BD's Registered as of September 2023	1,342	30

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
Total BDA's Registered as of September 2023	144,449	88

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Registrations Terminated/Withdrawn	0	5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
Total IA's Registered as of September 2023	120	1,966

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
Total IAR's Registered as of September 2023	172	4,659

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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