

### 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
<b>Franchise Exemption filings Received as of October 2023</b>	<b>12</b>



## Bureau of Securities Monthly Report

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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Registrations Terminated/Withdrawn	12	1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Registrations Terminated/Withdrawn	0	49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