



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
Total Exemptions Received as of November 2023	87	0

Loan Broker Act

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

Loan Broker renewal filing	0
Total Loan Brokers Registered as of November 2023	19

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 November 2023	6

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of November 2023	17



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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Registrations Terminated/Withdrawn	17	0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
Total BD's Registered as of November 2023	1,321	29

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
Total BDA's Registered as of November 2023	145,827	87

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Registrations Terminated/Withdrawn	2	33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
Total IA's Registered as of November 2023	119	1,977

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
Total IAR's Registered as of November 2023	171	4,699

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