

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
Total Exemptions Received as of January 2024	73	0

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 January 2024	20

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 January 2024	6

Franchise Exemption

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Registrations Terminated/Withdrawn	14	3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
Total BD's Registered as of January 2024	1,304	26

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
Total BDA's Registered as of January 2024	137,380	57

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Registrations Terminated/Withdrawn	3	2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 Janu:	0	26
Total IA's Registered as of January 2024	116	1,902

Investment Adviser Representatives

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

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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