

Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	14	30	44
New UIT Notice Filings	91	0	91
Renewal Filings	53	1737	1790
Additions	10	335	345
Oversales	11	37	48
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	0	0	0
BDC	0	0	0
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	57	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	0	0
Total Exemptions Received as of March 2024	61	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 March 2024	21

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 March 2024	6

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of March 2024	19



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Broker-Dealers and Broker-Dealer Agents

Broker-Dealers

Activity	FINRA	NON-FINRA
Approved	8	0
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	0	0
Gain (+) /Loss (-) BD's between March & April	8	0
Total BD's Registered as of March 2024	1,315	26

Broker-Dealer Agents

Activity	FINRA	NON-FINRA
Approved (Includes Automatic, Manual, Temp. Queues)	2198	1
Denied		0
Terminations	1,573	0
Gain (+) /Loss (-) BDA's between March & April	625	1
Total BDA's Registered as of March 2024	143,669	58

Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed
Approved	2	78
Applications Abandoned	0	65
Applications Denied	0	0
Registrations Terminated/Withdrawn	2	30

Gain (+) /Loss (-) IA's between March & April	0	48
Total IA's Registered as of March 2024	116	1,967

Investment Adviser Representatives

Activity	Registered	Notice Filed
Approved	3	63
Denied	0	0
Terminated	3	99
Gain (+) /Loss (-) IAR's between March & April	0	-36
Total IAR's Registered as of March 2024	178	4,650

ties





ties



Total

8

0

0

0

8

1,341



Total

2,199

0

1,573

626

143,727



Total

80

65

0

32

48
2,083



Total
66
0
102
-36
4,828