



**DEPARTMENT OF BANKING
AND FINANCE**

**Bureau of Securities
Monthly Report**

April 2024

Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	2	38	40
New UIT Notice Filings	161	0	161
Renewal Filings	47	2076	2123
Additions	11	391	402
Oversales	29	42	71
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	0	0	0
BDC	6	0	6
Debt	0	0	0
Qualification	0	0	0
Other	1	0	1
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	40	18
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 April 2024	45	18

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 April 2024	22

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 April 2024	6

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of April 2024	25



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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Registrations Terminated/Withdrawn	4	0
Gain (+) /Loss (-) BD's between March & April	-1	0
Total BD's Registered as of April 2024	1,314	26

Broker-Dealer Agents

Activity	FINRA	NON-FINRA
Approved (Includes Automatic, Manual, Temp. Queues)	2466	0
Denied		0
Terminations	1,845	2
Gain (+) /Loss (-) BDA's between March & April	621	0
Total BDA's Registered as of April 2024	144,290	56

Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed
Approved	3	18
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	1	2

Gain (+) /Loss (-) IA's between March & April	2	16
Total IA's Registered as of April 2024	118	1,983

Investment Adviser Representatives

Activity	Registered	Notice Filed
Approved	2	76
Denied	0	0
Terminated	4	18
Gain (+) /Loss (-) IAR's between March & April	-2	58
Total IAR's Registered as of April 2024	176	4,708

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ties



Total
3
0
0
4
-1
1,340



Total
2,466
0
1,847
621
144,346



Total
21
0
0
3

18
2,101



Total
78
0
22
56
4,884