



Bureau of Securities Monthly Report

May 2024

Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	4	34	38
New UIT Notice Filings	89	0	89
Renewal Filings	48	2112	2160
Additions	8	326	334
Oversales	16	37	53
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	4	0	4
BDC	13	0	13
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	36	0
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	9	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 May 2024	45	0

Loan Broker Act

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

Loan Broker renewal filing	2
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Total Loan Brokers Registered as of May 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 May 2024	6

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of May 2024	24



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Broker-Dealers and Broker-Dealer Agents

Broker-Dealers

Activity	FINRA	NON-FINRA
Approved	6	0
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	9	0
Gain (+) /Loss (-) BD's between April & May	-3	0
Total BD's Registered as of May 2024	1,311	26

Broker-Dealer Agents

Activity	FINRA	NON-FINRA
Approved (Includes Automatic, Manual, Temp. Queues)	2797	0
Denied		
Terminations	3,530	0
Gain (+) /Loss (-) BDA's between April & May	-733	0
Total BDA's Registered as of May 2024	143,557	56

Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed
Approved	2	18
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	1	5

Gain (+) /Loss (-) IA's between April & May	1	13
Total IA's Registered as of May 2024	119	1,996

Investment Adviser Representatives

Activity	Registered	Notice Filed
Approved	4	75
Denied	0	0
Terminated	3	106
Gain (+) /Loss (-) IAR's between April & May	1	-31
Total IAR's Registered as of May 2024	177	4,677

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ties



Total

6

0

0

9

-3

1,337



Total

2,797

0

3,530

-733

143,613



Total

20

0

0

6

14
2,115

Total
79
0
109
-30
4,854