

Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	0	49	49
New UIT Notice Filings	96	0	96
Renewal Filings	32	1659	1691
Additions	9	280	289
Oversales	10	38	48
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	4	0	4
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	4	0
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	3	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 June 2024	7	0

Loan Broker Act

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

Loan Broker renewal filing	1
Total Loan Brokers Registered as of June 2024	16

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 June 2024	6

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of June 2024	13



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Broker-Dealers and Broker-Dealer Agents

Broker-Dealers

Activity	FINRA	NON-FINRA
Approved	6	1
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	7	0
Gain (+) /Loss (-) BD's between May & June	-1	0
Total BD's Registered as of June 2024	1,310	27

Broker-Dealer Agents

Activity	FINRA	NON-FINRA
Approved (Includes Automatic, Manual, Temp. Queues)	2558	0
Denied		0
Terminations	2,001	0
Gain (+) /Loss (-) BDA's between May & June	557	0
Total BDA's Registered as of June 2024	144,114	63

Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed
Approved	5	9
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	0	1

Gain (+) /Loss (-) IA's between May & June	5	8
Total IA's Registered as of June 2024	124	2,004

Investment Adviser Representatives		
Activity	Registered	Notice Filed
Approved	6	237
Denied	0	0
Terminated	3	203
Gain (+) /Loss (-) IAR's between May & June	3	34
Total IAR's Registered as of June 2024	180	4,711

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ties



Total

7

0

0

7

-1

1,337



Total

2,558

0

2,001

557

144,177



Total

14

0

0

1

13
2,128



Total
243
0
206
37
4,891