

### Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	0	12	12
New UIT Notice Filings	143	0	143
Renewal Filings	50	1797	1847
Additions	8	314	322
Oversales	15	47	62
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	3	0
8-1108.02(2) Electronic	39	21
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	7	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	14	0
<b>Total Exemptions Received as of July 2024</b>	<b>63</b>	<b>21</b>

### Loan Broker Act

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

Loan Broker renewal filing	1
<b>Total Loan Brokers Registered as of July 2024</b>	<b>14</b>

### SAMP Act

#### Business Opportunities

Activity	Total
New Business Opportunity filing	0
Business Opportunity amendment filing	0
Business Opportunity renewal filing	0
<b>Total filings as of July 2024</b>	<b>6</b>

#### Franchise Exemption

Activity	Total
<b>Franchise Exemption filings Received as of July 2024</b>	<b>19</b>



## Bureau of Securities Monthly Report

July 2023  
Page 2

### Broker-Dealers and Broker-Dealer Agents

#### Broker-Dealers

Activity	FINRA	NON-FINRA
Approved	5	1
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	33	0
Gain (+) /Loss (-) BD's between June & July 2021	38	1
<b>Total BD's Registered as of July 2024</b>	<b>1,348</b>	<b>28</b>

#### Broker-Dealer Agents

Activity	FINRA	NON-FINRA
Approved	2,268	0
Denied	0	0
Terminations	2,856	4
Gain (+) /Loss (-) BDA's between June & July 2021	-588	4
<b>Total BDA's Registered as of July 2024</b>	<b>143,526</b>	<b>67</b>

### Investment Advisers and Representatives

#### Investment Advisers

Activity	Registered	Notice Filed
Approved	4	8
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	13	71

Gain (+) /Loss (-) IA's between June & July 2021	-9	-63
<b>Total IA's Registered as of July 2024</b>	<b>115</b>	<b>1,941</b>

### Investment Adviser Representatives

Activity	Registered	Notice Filed
Approved	7	87
Denied	0	0
Terminated	18	225
Gain (+) /Loss (-) IAR's between June & July 2021	-11	-138
<b>Total IAR's Registered as of July 2024</b>	<b>169</b>	<b>4,573</b>

ties





ties



Total  
6  
0  
0  
33  
39  
**1,376**



Total  
2,268  
0  
2,860  
-584  
**143,593**



Total  
12  
0  
0  
84

-72  
**2,056**



**Total**  
94  
0  
243  
-149  
**4,742**

### Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	1	35	36
New UIT Notice Filings	81	23	104
Renewal Filings	16	1907	1923
Additions	6	352	358
Oversales	20	58	78
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	11	0	11
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	1	0
8-1108.02(2) Electronic	48	0
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	1	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	9	0
<b>Total Exemptions Received as of August 2024</b>	<b>60</b>	<b>0</b>

### Loan Broker Act

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

Loan Broker renewal filing	0
<b>Total Loan Brokers Registered as of August 2024</b>	<b>15</b>

### SAMP Act

#### Business Opportunities

Activity	Total
New Business Opportunity filing	0
Business Opportunity amendment filing	0
Business Opportunity renewal filing	0
<b>Total filings as of August 2024</b>	<b>6</b>

#### Franchise Exemption

Activity	Total
<b>Franchise Exemption filings Received as of August 2024</b>	<b>17</b>



## Bureau of Securities Monthly Report

August 2024

Page 2

### Broker-Dealers and Broker-Dealer Agents

#### Broker-Dealers

Activity	FINRA	NON-FINRA
Approved	7	0
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	43	0
Gain (+) /Loss (-) BD's between July & August	-36	0
<b>Total BD's Registered as of August 2024</b>	<b>1,312</b>	<b>28</b>

#### Broker-Dealer Agents

Activity	FINRA	NON-FINRA
Approved	2,973	1
Denied	0	0
Terminations	2,004	0
Gain (+) /Loss (-) BDA's between July & August	969	1
<b>Total BDA's Registered as of August 2024</b>	<b>144,495</b>	<b>68</b>

### Investment Advisers and Representatives

#### Investment Advisers

Activity	Registered	Notice Filed
Approved	1	17
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	8	55



Gain (+) /Loss (-) IA's between July & August	9	72
<b>Total IA's Registered as of August 2024</b>	<b>124</b>	<b>2,013</b>

### Investment Adviser Representatives

Activity	Registered	Notice Filed
Approved	3	60
Denied	0	0
Terminated	13	72
Gain (+) /Loss (-) IAR's between July & August	16	132
<b>Total IAR's Registered as of August 2024</b>	<b>185</b>	<b>4,705</b>

ties





ties



Total  
7  
0  
0  
43  
-36  
**1,340**



Total  
2,974  
0  
2,004  
970  
**144,563**



Total  
18  
0  
0  
63

81  
2,137



**Total**

63  
0  
85  
148  
4,890

### Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	5	85	90
New UIT Notice Filings	84	32	116
Renewal Filings	36	1780	1816
Additions	8	309	317
Oversales	22	44	66
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	65	0
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	7	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	2	0
<b>Total Exemptions Received as of September 2024</b>	<b>74</b>	<b>0</b>

### Loan Broker Act

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

Loan Broker renewal filing	0
<b>Total Loan Brokers Registered as of September 2024</b>	<b>16</b>

### SAMP Act

#### Business Opportunities

Activity	Total
New Business Opportunity filing	0
Business Opportunity amendment filing	0
Business Opportunity renewal filing	0
<b>Total filings as of September 2024</b>	<b>6</b>

#### Franchise Exemption

Activity	Total
<b>Franchise Exemption filings Received as of September 2024</b>	<b>16</b>



## Bureau of Securities Monthly Report

September 2024

Page 2

### Broker-Dealers and Broker-Dealer Agents

#### Broker-Dealers

Activity	FINRA	NON-FINRA
Approved	7	0
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	7	0
Gain (+) /Loss (-) BD's between August & September	0	0
<b>Total BD's Registered as of September 2024</b>	<b>1,312</b>	<b>28</b>

#### Broker-Dealer Agents

Activity	FINRA	NON-FINRA
Approved	3,165	0
Denied	0	0
Terminations	855	1
Gain (+) /Loss (-) BDA's between August & September	2,310	1
<b>Total BDA's Registered as of September 2024</b>	<b>146,805</b>	<b>69</b>

### Investment Advisers and Representatives

#### Investment Advisers

Activity	Registered	Notice Filed
Approved	3	14
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	0	5

Gain (+) /Loss (-) IA's between August & Septembe	3	9
<b>Total IA's Registered as of September 2024</b>	<b>127</b>	<b>2,022</b>

### Investment Adviser Representatives

Activity	Registered	Notice Filed
Approved	0	67
Denied	0	0
Terminated	1	34
Gain (+) /Loss (-) IAR's between August & Septembe	-1	33
<b>Total IAR's Registered as of September 2024</b>	<b>184</b>	<b>4,738</b>

ties







ties



Total

7

0

0

7

0

1,340



Total

3,165

0

856

2,311

146,874



Total

17

0

0

5

12  
2,149



**Total**  
67  
0  
35  
32  
4,922

### Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	0	83	83
New UIT Notice Filings	133	24	157
Renewal Filings	63	1812	1875
Increases	8	342	350
Oversales	18	69	87
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	4	0	4
BDC	3	0	3
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	17	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
<b>Total Exemptions Received as of October 2024</b>	<b>21</b>	<b>0</b>

### Loan Broker Act

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

Loan Broker renewal filing	3
<b>Total Loan Brokers Registered as of October 2024</b>	<b>16</b>

### SAMP Act

#### Business Opportunities

Activity	Total
New Business Opportunity filing	0
Business Opportunity amendment filing	0
Business Opportunity renewal filing	0
<b>Total filings as of October 2024</b>	<b>6</b>

#### Franchise Exemption

Activity	Total
<b>Franchise Exemption filings Received as of October 2024</b>	<b>8</b>



## Bureau of Securities Monthly Report

October 2024

Page 2

### 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	11	0
Gain (+) /Loss (-) BD's between September & October	-8	0
<b>Total BD's Registered as of October 2024</b>	<b>1,304</b>	<b>28</b>

#### Broker-Dealer Agents

Activity	FINRA	NON-FINRA
Approved	2749	0
Denied	0	0
Terminations	1,879	0
Gain (+) /Loss (-) BDA's between September & October	870	0
<b>Total BDA's Registered as of October 2024</b>	<b>147,675</b>	<b>69</b>

### Investment Advisers and Representatives

#### Investment Advisers

Activity	Registered	Notice Filed
Approved	3	13
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	5	8

Gain (+) /Loss (-) IA's between September & Octob	-2	5
<b>Total IA's Registered as of October 2024</b>	<b>125</b>	<b>2,027</b>

Investment Adviser Representatives		
Activity	Registered	Notice Filed
Approved	4	85
Denied	0	0
Terminated	2	63
Gain (+) /Loss (-) IAR's between September & Octob	2	22
<b>Total IAR's Registered as of October 2024</b>	<b>186</b>	<b>4,760</b>

ties





ties



Total

3

0

0

11

-8

1,332



Total

2,749

0

1,879

870

147,744



Total

16

0

0

13

3  
2,152



**Total**  
89  
0  
65  
24  
**4,946**



### Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	13	17	30
New UIT Notice Filings	79	1	80
Renewal Filings	22	1643	1665
Increases	12	328	340
Oversales	23	43	66
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	13	0	13
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	5	0
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	8	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
<b>Total Exemptions Received as of November 2024</b>	<b>13</b>	<b>0</b>

### Loan Broker Act

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

Loan Broker renewal filing	0
<b>Total Loan Brokers Registered as of November 2024</b>	<b>16</b>

### SAMP Act

#### Business Opportunities

Activity	Total
New Business Opportunity filing	0
Business Opportunity amendment filing	0
Business Opportunity renewal filing	1
<b>Total filings as of November 2024</b>	<b>6</b>

#### Franchise Exemption

Activity	Total
<b>Franchise Exemption filings Received as of November 2024</b>	<b>6</b>



## Bureau of Securities Monthly Report

November 2024

Page 2

### 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 October & November	-1	0
<b>Total BD's Registered as of November 2024</b>	<b>1,303</b>	<b>28</b>

#### Broker-Dealer Agents

Activity	FINRA	NON-FINRA
Approved	2166	0
Denied		0
Terminations	1,775	0
Gain (+) /Loss (-) BDA's between October & November	391	0
<b>Total BDA's Registered as of November 2024</b>	<b>148,066</b>	<b>69</b>

### Investment Advisers and Representatives

#### Investment Advisers

Activity	Registered	Notice Filed
Approved	3	29
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	0	9

Gain (+) /Loss (-) IA's between October & November	3	20
<b>Total IA's Registered as of November 2024</b>	<b>128</b>	<b>2,047</b>

Investment Adviser Representatives		
Activity	Registered	Notice Filed
Approved	2	93
Denied	0	0
Terminated	0	84
Gain (+) /Loss (-) IAR's between October & November	2	177
<b>Total IAR's Registered as of November 2024</b>	<b>188</b>	<b>4,937</b>

ties





ties



Total  
3  
0  
0  
4  
-1  
1,331



Total  
2,166  
0  
1,775  
391  
148,135



Total  
32  
0  
0  
9

23  
2,175



**Total**  
95  
0  
84  
179  
5,125



**DEPARTMENT OF BANKING  
AND FINANCE**

**Bureau of Securities  
Monthly Report**

December 2024

**Securities Registrations**

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	0	33	33
New UIT Notice Filings	103	8	111
Renewal Filings	34	1763	1797
Additions	7	465	472
Oversales	19	57	76
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	11	0	11
BDC	3	0	3
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	1	0
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	6	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
<b>Total Exemptions Received as of December 2024</b>	<b>7</b>	<b>0</b>

**Loan Broker Act**

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

Loan Broker renewal filing	1
<b>Total Loan Brokers Registered as of December 2024</b>	<b>17</b>

### SAMP Act

#### Business Opportunities

Activity	Total
New Business Opportunity filing	0
Business Opportunity amendment filing	0
Business Opportunity renewal filing	0
<b>Total filings as of December 2024</b>	<b>6</b>

#### Franchise Exemption

Activity	Total
<b>Franchise Exemption filings Received as of December 2024</b>	<b>6</b>



## Bureau of Securities Monthly Report

December 2024

Page 2

### Broker-Dealers and Broker-Dealer Agents

#### Broker-Dealers

Activity	FINRA	NON-FINRA
Approved	0	0
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	34	0
Gain (+) /Loss (-) BD's between November & Decem	-34	0
<b>Total BD's Registered as of December 2024</b>	<b>1,269</b>	<b>28</b>

#### Broker-Dealer Agents

Activity	FINRA	NON-FINRA
Approved	1,679	0
Denied		0
Terminations	5,914	0
Gain (+) /Loss (-) BDA's between November & Decem	-4,235	0
<b>Total BDA's Registered as of December 2024</b>	<b>143,831</b>	<b>69</b>

### Investment Advisers and Representatives

#### Investment Advisers

Activity	Registered	Notice Filed
Approved	4	9
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	2	94



Gain (+) /Loss (-) IA's between November & Decem	2	-85
<b>Total IA's Registered as of December 2024</b>	<b>130</b>	<b>1,962</b>

Investment Adviser Representatives		
Activity	Registered	Notice Filed
Approved	5	45
Denied	0	0
Terminated	13	381
Gain (+) /Loss (-) IAR's between November & Decem	-8	-336
<b>Total IAR's Registered as of December 2024</b>	<b>180</b>	<b>4,601</b>

ties





ties



**Total**  
0  
0  
0  
34  
-34  
**1,297**



**Total**  
1,679  
0  
5,914  
-4,235  
**143,900**



**Total**  
13  
0  
0  
96

-83  
**2,092**



**Total**  
50  
0  
394  
-344  
**4,781**





### Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	0	37	37
New UIT Notice Filings	122	41	163
Renewal Filings	23	1655	1678
Additions	10	461	471
Oversales	39	41	80
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	55	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
<b>Total Exemptions Received as of January 2025</b>	<b>64</b>	<b>0</b>

### Loan Broker Act

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

Loan Broker renewal filing	1
<b>Total Loan Brokers Registered as of January 2025</b>	<b>18</b>

### SAMP Act

#### Business Opportunities

Activity	Total
New Business Opportunity filing	0
Business Opportunity amendment filing	0
Business Opportunity renewal filing	1
<b>Total filings as of January 2025</b>	<b>6</b>

#### Franchise Exemption

Activity	Total
<b>Franchise Exemption filings Received as of January 2025</b>	<b>6</b>



## Bureau of Securities Monthly Report

January 2025

Page 2

### Broker-Dealers and Broker-Dealer Agents

#### Broker-Dealers

Activity	FINRA	NON-FINRA
Approved	2	0
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	9	0
Gain (+) /Loss (-) BD's between December and January	11	0
<b>Total BD's Registered as of January 2025</b>	<b>1,280</b>	<b>28</b>

#### Broker-Dealer Agents

Activity	FINRA	NON-FINRA
Approved	4674	57
Denied		0
Terminations	1,683	64
Gain (+) /Loss (-) BDA's between December and January	2,991	-7
<b>Total BDA's Registered as of January 2025</b>	<b>146,822</b>	<b>62</b>

### Investment Advisers and Representatives

#### Investment Advisers

Activity	Registered	Notice Filed
Approved	1	34
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	9	16



Gain (+) /Loss (-) IA's between December and Janu:	-8	18
<b>Total IA's Registered as of January 2025</b>	<b>122</b>	<b>1,980</b>

### Investment Adviser Representatives

Activity	Registered	Notice Filed
Approved	5	125
Denied	0	0
Terminated	4	110
Gain (+) /Loss (-) IAR's between December and Janu:	1	15
<b>Total IAR's Registered as of January 2025</b>	<b>181</b>	<b>4,616</b>

ties





ties



Total  
2  
0  
0  
9  
11  
1,308



Total  
4,731  
0  
1,747  
2,984  
146,884



Total  
35  
0  
0  
25

10  
2,102



**Total**  
130  
0  
114  
16  
4,797

### Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	4	16	20
New UIT Notice Filings	82	10	92
Renewal Filings	17	1842	1859
Additions	15	350	365
Oversales	24	71	95
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	4	0	4
BDC	3	0	3
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	40	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
<b>Total Exemptions Received as of February 2025</b>	<b>49</b>	<b>0</b>

### Loan Broker Act

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

Loan Broker renewal filing	0
<b>Total Loan Brokers Registered as of February 2025</b>	<b>18</b>

### SAMP Act

#### Business Opportunities

Activity	Total
New Business Opportunity filing	0
Business Opportunity amendment filing	0
Business Opportunity renewal filing	2
<b>Total filings as of February 2025</b>	<b>6</b>

#### Franchise Exemption

Activity	Total
<b>Franchise Exemption filings Received as of February 2025</b>	<b>16</b>



## Bureau of Securities Monthly Report

February 2024

Page 2

### Broker-Dealers and Broker-Dealer Agents

#### Broker-Dealers

Activity	FINRA	NON-FINRA
Approved	7	0
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	5	0
Gain (+) /Loss (-) BD's between January & February	2	0
<b>Total BD's Registered as of February 2025</b>	<b>1,282</b>	<b>28</b>

#### Broker-Dealer Agents

Activity	FINRA	NON-FINRA
Approved (Includes Automatic, Manual, Temp. Queues)	2192	57
Denied		0
Terminations	1,260	57
Gain (+) /Loss (-) BDA's between January & February	932	0
<b>Total BDA's Registered as of February 2025</b>	<b>147,754</b>	<b>62</b>

### Investment Advisers and Representatives

#### Investment Advisers

Activity	Registered	Notice Filed
Approved	1	23
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	0	3

Gain (+) /Loss (-) IA's between January & February	1	20
<b>Total IA's Registered as of February 2025</b>	<b>123</b>	<b>2,000</b>

### Investment Adviser Representatives

Activity	Registered	Notice Filed
Approved	4	93
Denied	0	0
Terminated	0	24
Gain (+) /Loss (-) IAR's between January & February	4	117
<b>Total IAR's Registered as of February 2025</b>	<b>185</b>	<b>4,733</b>

ties







ties



Total  
7  
0  
0  
5  
2  
1,310



Total  
2,249  
0  
1,317  
932  
147,816



Total  
24  
0  
0  
3

21  
2,123



**Total**  
97  
0  
24  
121  
**4,918**

### Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	0	31	31
New UIT Notice Filings	90	24	114
Renewal Filings	53	1642	1695
Additions	7	386	393
Oversales	30	60	90
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	1	0
8-1108.02(2) Electronic	49	0
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	4	0
8-1111(11)(a) and (b)	1	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
<b>Total Exemptions Received as of March 2025</b>	<b>55</b>	<b>0</b>

### Loan Broker Act

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

Loan Broker renewal filing	1
<b>Total Loan Brokers Registered as of March 2025</b>	<b>17</b>

### SAMP Act

#### Business Opportunities

Activity	Total
New Business Opportunity filing	0
Business Opportunity amendment filing	0
Business Opportunity renewal filing	0
<b>Total filings as of March 2025</b>	<b>6</b>

#### Franchise Exemption

Activity	Total
<b>Franchise Exemption filings Received as of March 2025</b>	<b>17</b>



## Bureau of Securities Monthly Report

March 2024

Page 2

### Broker-Dealers and Broker-Dealer Agents

#### Broker-Dealers

Activity	FINRA	NON-FINRA
Approved	4	0
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	1	0
Gain (+) /Loss (-) BD's between March & April	3	0
<b>Total BD's Registered as of March 2025</b>	<b>1,285</b>	<b>28</b>

#### Broker-Dealer Agents

Activity	FINRA	NON-FINRA
Approved (Includes Automatic, Manual, Temp. Queues)	2407	58
Denied		0
Terminations	1,547	57
Gain (+) /Loss (-) BDA's between March & April	860	1
<b>Total BDA's Registered as of March 2025</b>	<b>148,614</b>	<b>63</b>

### Investment Advisers and Representatives

#### Investment Advisers

Activity	Registered	Notice Filed
Approved	1	78
Applications Abandoned	0	65
Applications Denied	0	0
Registrations Terminated/Withdrawn	0	23

Gain (+) /Loss (-) IA's between March & April	1	55
<b>Total IA's Registered as of March 2025</b>	<b>124</b>	<b>2,055</b>

### Investment Adviser Representatives

Activity	Registered	Notice Filed
Approved	1	73
Denied	0	0
Terminated	0	120
Gain (+) /Loss (-) IAR's between March & April	1	-47
<b>Total IAR's Registered as of March 2025</b>	<b>186</b>	<b>4,686</b>

ties





ties



Total  
4  
0  
0  
1  
3  
**1,313**



Total  
2,465  
0  
1,604  
861  
**148,677**



Total  
79  
65  
0  
23

56  
2,179



**Total**  
74  
0  
120  
-46  
4,872



### Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	4	37	41
New UIT Notice Filings	115	0	115
Renewal Filings	39	1475	1514
Additions	5	304	309
Oversales	20	45	65
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	0	0	0
BDC	2	0	2
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	44	0
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	2	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
<b>Total Exemptions Received as of April 2025</b>	<b>46</b>	<b>0</b>

### Loan Broker Act

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

Loan Broker renewal filing	2
<b>Total Loan Brokers Registered as of April 2025</b>	<b>17</b>

### SAMP Act

#### Business Opportunities

Activity	Total
New Business Opportunity filing	0
Business Opportunity amendment filing	0
Business Opportunity renewal filing	1
<b>Total filings as of April 2025</b>	<b>6</b>

#### Franchise Exemption

Activity	Total
<b>Franchise Exemption filings Received as of April 2025</b>	<b>17</b>



## Bureau of Securities Monthly Report

April 2024

Page 2

### Broker-Dealers and Broker-Dealer Agents

#### Broker-Dealers

Activity	FINRA	NON-FINRA
Approved	2	0
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	6	0
Gain (+) /Loss (-) BD's between March & April	-4	0
<b>Total BD's Registered as of April 2025</b>	<b>1,281</b>	<b>28</b>

#### Broker-Dealer Agents

Activity	FINRA	NON-FINRA
Approved (Includes Automatic, Manual, Temp. Queues)	2361	56
Denied		0
Terminations	1,937	2
Gain (+) /Loss (-) BDA's between March & April	424	0
<b>Total BDA's Registered as of April 2025</b>	<b>149,038</b>	<b>62</b>

### Investment Advisers and Representatives

#### Investment Advisers

Activity	Registered	Notice Filed
Approved	1	11
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	2	8

Gain (+) /Loss (-) IA's between March & April	3	3
<b>Total IA's Registered as of April 2025</b>	<b>127</b>	<b>2,058</b>

### Investment Adviser Representatives

Activity	Registered	Notice Filed
Approved	3	74
Denied	0	0
Terminated	3	37
Gain (+) /Loss (-) IAR's between March & April	0	37
<b>Total IAR's Registered as of April 2025</b>	<b>186</b>	<b>4,723</b>

ties





ties



Total  
2  
0  
0  
6  
-4  
1,309



Total  
2,417  
0  
1,939  
424  
149,100



Total  
12  
0  
0  
10

6

2,185



**Total**

77

0

40

37

**4,909**

### Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	6	18	24
New UIT Notice Filings	83	23	106
Renewal Filings	1	2192	2193
Additions	7	292	299
Oversales	22	47	69
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	4	0	4
BDC	9	0	9
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	50	0
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	5	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
<b>Total Exemptions Received as of May 2025</b>	<b>55</b>	<b>0</b>

### Loan Broker Act

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

Loan Broker renewal filing	1
<b>Total Loan Brokers Registered as of May 2025</b>	<b>16</b>

### SAMP Act

#### Business Opportunities

Activity	Total
New Business Opportunity filing	0
Business Opportunity amendment filing	0
Business Opportunity renewal filing	1
<b>Total filings as of May 2025</b>	<b>6</b>

#### Franchise Exemption

Activity	Total
<b>Franchise Exemption filings Received as of May 2025</b>	<b>25</b>



## Bureau of Securities Monthly Report

May 2024

Page 2

### 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	4	0
Gain (+) /Loss (-) BD's between April & May	2	0
<b>Total BD's Registered as of May 2025</b>	<b>1,283</b>	<b>28</b>

#### Broker-Dealer Agents

Activity	FINRA	NON-FINRA
Approved (Includes Automatic, Manual, Temp. Queues)	2476	56
Denied		0
Terminations	2,076	0
Gain (+) /Loss (-) BDA's between April & May	400	0
<b>Total BDA's Registered as of May 2025</b>	<b>149,438</b>	<b>65</b>

### Investment Advisers and Representatives

#### Investment Advisers

Activity	Registered	Notice Filed
Approved	0	21
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	4	4



Gain (+) /Loss (-) IA's between April & May	-4	17
<b>Total IA's Registered as of May 2025</b>	<b>123</b>	<b>2,075</b>

### Investment Adviser Representatives

Activity	Registered	Notice Filed
Approved	0	68
Denied	0	0
Terminated	3	40
Gain (+) /Loss (-) IAR's between April & May	-3	28
<b>Total IAR's Registered as of May 2025</b>	<b>183</b>	<b>4,751</b>

ties





ties



Total  
6  
0  
0  
4  
2  
1,311



Total  
2,532  
0  
2,076  
400  
149,503



Total  
21  
0  
0  
8

13  
**2,198**



**Total**

68  
0  
43  
25  
**4,934**

### Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	10	71	81
New UIT Notice Filings	107	69	176
Renewal Filings	47	1635	1682
Additions	9	230	239
Oversales	25	41	66
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	1	0	1
BDC	2	0	2
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	35	0
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	2	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	2	0
<b>Total Exemptions Received as of June 2025</b>	<b>40</b>	<b>0</b>

### Loan Broker Act

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

Loan Broker renewal filing	0
<b>Total Loan Brokers Registered as of June 2025</b>	<b>16</b>

### SAMP Act

#### Business Opportunities

Activity	Total
New Business Opportunity filing	0
Business Opportunity amendment filing	0
Business Opportunity renewal filing	0
<b>Total filings as of June 2025</b>	<b>6</b>

#### Franchise Exemption

Activity	Total
<b>Franchise Exemption filings Received as of June 2025</b>	<b>20</b>



## Bureau of Securities Monthly Report

June 2025

Page 2

### 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	5	0
Gain (+) /Loss (-) BD's between May & June	5	0
<b>Total BD's Registered as of June 2025</b>	<b>1,288</b>	<b>28</b>

#### Broker-Dealer Agents

Activity	FINRA	NON-FINRA
Approved (Includes Automatic, Manual, Temp. Queues)	2592	56
Denied		0
Terminations	1,739	0
Gain (+) /Loss (-) BDA's between May & June	853	0
<b>Total BDA's Registered as of June 2025</b>	<b>150,291</b>	<b>65</b>

### Investment Advisers and Representatives

#### Investment Advisers

Activity	Registered	Notice Filed
Approved	0	15
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	1	4

Gain (+) /Loss (-) IA's between May & June	-1	11
<b>Total IA's Registered as of June 2025</b>	<b>122</b>	<b>2,086</b>

### Investment Adviser Representatives

Activity	Registered	Notice Filed
Approved	0	100
Denied	0	0
Terminated	3	12
Gain (+) /Loss (-) IAR's between May & June	-3	88
<b>Total IAR's Registered as of June 2025</b>	<b>180</b>	<b>4,839</b>

ties







ties



Total

10

0

0

5

5

1,316



Total

2,648

0

1,739

853

150,356



Total

15

0

0

5

10  
2,208



**Total**  
100  
0  
15  
85  
5,019

### Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	43	475	518
New UIT Notice Filings	1,222	255	1,477
Renewal Filings	401	21,143	21,544
Additions	102	4,133	4,235
Oversales	277	623	900
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	56	0	56
BDC	22	0	22
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	6	0
8-1108.02(2) Electronic	448	21
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	63	0
8-1111(11)(a) and (b)	1	0
8-1111(14)	0	0
8-1111(15)	2	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	27	0
<b>Total Exemptions Received as of June 2025</b>	<b>547</b>	<b>21</b>

### Loan Broker Act

Activity	Total
New Loan Broker filing	6
Loan Broker amendment filing	0

Loan Broker renewal filing	10
<b>Total Loan Brokers Registered as of June 2025</b>	<b>16</b>

### SAMP Act

#### Business Opportunities

Activity	Total
New Business Opportunity filing	0
Business Opportunity amendment filing	0
Business Opportunity renewal filing	6
<b>Total filings as of June 2025</b>	<b>6</b>

#### Franchise Exemption

Activity	Total
<b>Franchise Exemption filings Received as of June 2025</b>	<b>173</b>



## Bureau of Securities Yearly Report

June 2023

Page 2

### Broker-Dealers and Broker-Dealer Agents

#### Broker-Dealers

Activity	FINRA	NON-FINRA
Approved	56	1
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	-78	-1
Gain (+) /Loss (-) BD's between June 22 & June 23	-22	0
<b>Total BD's Registered as of June 2025</b>	<b>1,288</b>	<b>28</b>

#### Broker-Dealer Agents

Activity	FINRA	NON-FINRA
Approved (Includes Automatic, Manual, Temp. Queues)	31,702	341
Denied	0	0
Terminations	-25,525	-339
Gain (+) /Loss (-) BDA's between June 22 & June 23	6,177	2
<b>Total BDA's Registered as of June 2025</b>	<b>150,291</b>	<b>65</b>

### Investment Advisers and Representatives

#### Investment Advisers

Activity	Registered	Notice Filed
Approved	22	272
Applications Abandoned	0	65
Applications Denied	0	0
Registrations Terminated/Withdrawn	-24	-190

Gain (+) /Loss (-) IA's between June 22 & June 23	-2	82
<b>Total IA's Registered as of June 2025</b>	<b>122</b>	<b>2,086</b>

### Investment Adviser Representatives

Activity	Registered	Notice Filed
Approved	34	970
Denied	0	0
Terminated	60	1,202
Gain (+) /Loss (-) IAR's between June 22 & June 23	0	128
<b>Total IAR's Registered as of June 2025</b>	<b>180</b>	<b>4,839</b>

ties





ties



Total  
57  
0  
0  
-79  
-22  
**1,316**



Total  
32,043  
0  
-25,864  
6,179  
**150,356**



Total  
294  
65  
0  
-214

80  
**2,208**



**Total**  
1,004  
0  
1,262  
128  
**5,019**