



Bureau of Securities Monthly Report

August 2024

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
Total Exemptions Received as of August 2024	60	0

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 August 2024	15
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 August 2024	6

Activity	Total
Franchise Exemption filings Received as of August 2024	17



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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Registrations Terminated/Withdrawn	43	0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
Total BD's Registered as of August 2024	1,312	28

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
Total BDA's Registered as of August 2024	144,495	68

Investment Advisers and Representatives

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Registrations Terminated/Withdrawn	8	55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
Total IA's Registered as of August 2024	124	2,013

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
Total IAR's Registered as of August 2024	185	4,705

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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