



## Bureau of Securities Monthly Report

September 2024

### 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
Franchise Exemption filings Received as of September 2024	16



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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Registrations Terminated/Withdrawn	7	0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Registrations Terminated/Withdrawn	0	5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>

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### 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**