

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 |
| Total Exemptions Received as of September 2024 | 74 | 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 September 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 September 2024 | 6 |

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| Registrations Terminated/Withdrawn | 7 | 0 |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 |
| Total BD's Registered as of September 2024 | 1,312 | 28 |

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 |
| Total BDA's Registered as of September 2024 | 146,805 | 69 |

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 |
| Total IA's Registered as of September 2024 | 127 | 2,022 |

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 |
| Total IAR's Registered as of September 2024 | 184 | 4,738 |

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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