

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
Total Exemptions Received as of October 2024	21	0

Loan Broker Act

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

Loan Broker renewal filing	3
Total Loan Brokers Registered as of October 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 October 2024	6

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of October 2024	8



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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Registrations Terminated/Withdrawn	11	0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
Total BD's Registered as of October 2024	1,304	28

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
Total BDA's Registered as of October 2024	147,675	69

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Registrations Terminated/Withdrawn	5	8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
Total IA's Registered as of October 2024	125	2,027

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
Total IAR's Registered as of October 2024	186	4,760

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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