

### 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

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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Registrations Terminated/Withdrawn	4	0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Registrations Terminated/Withdrawn	0	9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