



Bureau of Securities Monthly Report

November 2024

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
Total Exemptions Received as of November 2024	13	0

Loan Broker Act

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

Loan Broker renewal filing	0
Total Loan Brokers Registered as of November 2024	16
SAMP Act	
Business Opportunities	
Activity	Total
New Business Opportunity filing	0
Business Opportunity amendment filing	0
Business Opportunity renewal filing	1
Total filings as of November 2024	6
Franchise Exemption	
Activity	Total
Franchise Exemption filings Received as of November 2024	6



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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Registrations Terminated/Withdrawn	4	0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
Total BD's Registered as of November 2024	1,303	28

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
Total BDA's Registered as of November 2024	148,066	69

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Registrations Terminated/Withdrawn	0	9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 2024	3	20
Total IA's Registered as of November 2024	128	2,047

Investment Adviser Representatives

Activity	Registered	Notice Filed
Approved	2	93
Denied	0	0
Terminated	0	84
Gain (+) /Loss (-) IAR's between October & November 2024	2	177
Total IAR's Registered as of November 2024	188	4,937

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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