



**Bureau of Securities  
Monthly Report**

February 2025

**Securities Registrations**

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	4	16	20
New UIT Notice Filings	82	10	92
Renewal Filings	17	1842	1859
Additions	15	350	365
Oversales	24	71	95
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	0	0
8-1108.02(2) Electronic	40	0
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	9	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 February 2025</b>	<b>49</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 February 2025</b>	<b>18</b>

### SAMP Act

### Business Opportunities

Activity	Total
New Business Opportunity filing	0
Business Opportunity amendment filing	0
Business Opportunity renewal filing	2
<b>Total filings as of February 2025</b>	<b>6</b>

### Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of February 2025	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Registrations Terminated/Withdrawn	5	0
Gain (+) /Loss (-) BD's between January & February	2	0
<b>Total BD's Registered as of February 2025</b>	<b>1,282</b>	<b>28</b>

#### Broker-Dealer Agents

Activity	FINRA	NON-FINRA
Approved (Includes Automatic, Manual, Temp. Queues)	2192	57
Denied		0
Terminations	1,260	57
Gain (+) /Loss (-) BDA's between January & February	932	0
<b>Total BDA's Registered as of February 2025</b>	<b>147,754</b>	<b>62</b>

### Investment Advisers and Representatives

#### Investment Advisers

Activity	Registered	Notice Filed
Approved	1	23
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	0	3

Gain (+) /Loss (-) IA's between January & February	1	20
<b>Total IA's Registered as of February 2025</b>	<b>123</b>	<b>2,000</b>

#### Investment Adviser Representatives

Activity	Registered	Notice Filed
Approved	4	93
Denied	0	0
Terminated	0	24
Gain (+) /Loss (-) IAR's between January & February	4	117
<b>Total IAR's Registered as of February 2025</b>	<b>185</b>	<b>4,733</b>

ties





## ties



### Total

7

0

0

5

2

**1,310**



### Total

2,249

0

1,317

932

**147,816**



### Total

24

0

0

3

21  
**2,123**

**Total**  
97  
0  
24  
121  
**4,918**