

Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	6	18	24
New UIT Notice Filings	83	23	106
Renewal Filings	1	2192	2193
Additions	7	292	299
Oversales	22	47	69
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	4	0	4
BDC	9	0	9
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	50	0
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	5	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 May 2025	55	0

Loan Broker Act

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

Loan Broker renewal filing	1
Total Loan Brokers Registered as of May 2025	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 May 2025	6

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of May 2025	25



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Broker-Dealers and Broker-Dealer Agents

Broker-Dealers

Activity	FINRA	NON-FINRA
Approved	6	0
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	4	0
Gain (+) /Loss (-) BD's between April & May	2	0
Total BD's Registered as of May 2025	1,283	28

Broker-Dealer Agents

Activity	FINRA	NON-FINRA
Approved (Includes Automatic, Manual, Temp. Queues)	2476	56
Denied		0
Terminations	2,076	0
Gain (+) /Loss (-) BDA's between April & May	400	0
Total BDA's Registered as of May 2025	149,438	65

Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed
Approved	0	21
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	4	4

Gain (+) /Loss (-) IA's between April & May	-4	17
Total IA's Registered as of May 2025	123	2,075

Investment Adviser Representatives		
Activity	Registered	Notice Filed
Approved	0	68
Denied	0	0
Terminated	3	40
Gain (+) /Loss (-) IAR's between April & May	-3	28
Total IAR's Registered as of May 2025	183	4,751

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ties



Total
6
0
0
4
2
1,311



Total
2,532
0
2,076
400
149,503



Total
21
0
0
8

13
2,198



Total
68
0
43
25
4,934