

### Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	10	71	81
New UIT Notice Filings	107	69	176
Renewal Filings	47	1635	1682
Additions	9	230	239
Oversales	25	41	66
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	1	0	1
BDC	2	0	2
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	35	0
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	2	0
8-1111(11)(a) and (b)	0	0
8-1111(14)	0	0
8-1111(15)	1	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	2	0
<b>Total Exemptions Received as of June 2025</b>	<b>40</b>	<b>0</b>

### Loan Broker Act

Activity	Total
New Loan Broker filing	1
Loan Broker amendment filing	0

Loan Broker renewal filing	0
<b>Total Loan Brokers Registered as of June 2025</b>	<b>16</b>

### SAMP Act

#### Business Opportunities

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

#### Franchise Exemption

Activity	Total
<b>Franchise Exemption filings Received as of June 2025</b>	<b>20</b>



## Bureau of Securities Monthly Report

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### Broker-Dealers and Broker-Dealer Agents

#### Broker-Dealers

Activity	FINRA	NON-FINRA
Approved	10	0
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	5	0
Gain (+) /Loss (-) BD's between May & June	5	0
<b>Total BD's Registered as of June 2025</b>	<b>1,288</b>	<b>28</b>

#### Broker-Dealer Agents

Activity	FINRA	NON-FINRA
Approved (Includes Automatic, Manual, Temp. Queues)	2592	56
Denied		0
Terminations	1,739	0
Gain (+) /Loss (-) BDA's between May & June	853	0
<b>Total BDA's Registered as of June 2025</b>	<b>150,291</b>	<b>65</b>

### Investment Advisers and Representatives

#### Investment Advisers

Activity	Registered	Notice Filed
Approved	0	15
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	1	4

Gain (+) /Loss (-) IA's between May & June	-1	11
<b>Total IA's Registered as of June 2025</b>	<b>122</b>	<b>2,086</b>

### Investment Adviser Representatives

Activity	Registered	Notice Filed
Approved	0	100
Denied	0	0
Terminated	3	12
Gain (+) /Loss (-) IAR's between May & June	-3	88
<b>Total IAR's Registered as of June 2025</b>	<b>180</b>	<b>4,839</b>

ties





ties



Total  
10  
0  
0  
5  
5  
**1,316**



Total  
2,648  
0  
1,739  
853  
**150,356**



Total  
15  
0  
0  
5

10  
2,208



**Total**  
100  
0  
15  
85  
5,019