

### Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	5	19	24
New UIT Notice Filings	102	5	107
Renewal Filings	48	2587	2635
Additions	11	301	312
Oversales	20	65	85
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	1	0	1
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	0	0
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	0	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 July 2025</b>	<b>0</b>	<b>0</b>

### Loan Broker Act

Activity	Total
New Loan Broker filing	
Loan Broker amendment filing	0

Loan Broker renewal filing	0
<b>Total Loan Brokers Registered as of July 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	0
<b>Total filings as of July 2025</b>	<b>6</b>

#### Franchise Exemption

Activity	Total
<b>Franchise Exemption filings Received as of July 2025</b>	<b>19</b>



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### Broker-Dealers and Broker-Dealer Agents

#### Broker-Dealers

Activity	FINRA	NON-FINRA
Approved	3	26
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	0	0
Gain (+) /Loss (-) BD's between June & July 2025	1,289	0
<b>Total BD's Registered as of July 2025</b>	<b>1,289</b>	<b>28</b>

#### Broker-Dealer Agents

Activity	FINRA	NON-FINRA
Approved	2,789	0
Denied	0	0
Terminations	0	0
Gain (+) /Loss (-) BDA's between June & July 2025	150,959	67
<b>Total BDA's Registered as of July 2025</b>	<b>150,959</b>	<b>67</b>

### Investment Advisers and Representatives

#### Investment Advisers

Activity	Registered	Notice Filed
Approved	0	12
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	121	2,077

Gain (+) /Loss (-) IA's between June & July 2025	121	2,089
<b>Total IA's Registered as of July 2025</b>	<b>121</b>	<b>2,089</b>

### Investment Adviser Representatives

Activity	Registered	Notice Filed
Approved	2	97
Denied	0	0
Terminated	178	4,776
Gain (+) /Loss (-) IAR's between June & July 2025	180	4,873
<b>Total IAR's Registered as of July 2025</b>	<b>180</b>	<b>4,873</b>

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ties



Total  
29  
0  
0  
0  
1,289  
**1,317**



Total  
0  
0  
0  
151,026  
**151,026**



Total  
12  
0  
0  
2,198

2,210  
**2,210**



**Total**  
99  
0  
4,954  
5,053  
**5,053**