



Bureau of Securities Monthly Report

August 2025

Securities Registrations

| Filing/Security Type | Manual | Electronic | Total |
|----------------------------------|--------|------------|-------|
| New Mutual Fund Notice Filings | 9 | 65 | 74 |
| New UIT Notice Filings | 77 | 24 | 101 |
| Renewal Filings | 21 | 0 | 21 |
| Additions | 5 | 299 | 304 |
| Oversales | 33 | 67 | 100 |
| Common Stock | 0 | 1617 | 1617 |
| Limited Partnerships | 0 | 0 | 0 |
| Preferred Stock | 0 | 0 | 0 |
| REIT | 3 | 0 | 3 |
| 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 | 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 |
| Total Exemptions Received as of August 2025 | 0 | 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 August 2025 | 16 |
| SAMP Act | |
| Business Opportunities | |

| Activity | Total |
|--|----------|
| New Business Opportunity filing | 0 |
| Business Opportunity amendment filing | 0 |
| Business Opportunity renewal filing | 0 |
| Total filings as of August 2025 | 6 |

| Franchise Exemption | |
|----------------------------|-------|
| Activity | Total |

| | |
|--|----|
| Franchise Exemption filings Received as of August 2025 | 17 |
|--|----|



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Broker-Dealers and Broker-Dealer Agents

Broker-Dealers

| Activity | FINRA | NON-FINRA |
|--|--------------|-----------|
| Approved | 2 | 28 |
| Applications Abandoned | 0 | 0 |
| Applications Denied | 0 | 0 |
| Registrations Terminated/Withdrawn | 4 | 0 |
| Gain (+) /Loss (-) BD's between July & August | -2 | 0 |
| Total BD's Registered as of August 2025 | 1,287 | 28 |

Broker-Dealer Agents

| Activity | FINRA | NON-FINRA |
|---|----------------|-----------|
| Approved | 3,800 | 0 |
| Denied | 0 | 0 |
| Terminations | 1,911 | 2 |
| Gain (+) /Loss (-) BDA's between July & August | 1,889 | -2 |
| Total BDA's Registered as of August 2025 | 152,848 | 65 |

Investment Advisers and Representatives

Investment Advisers

| Activity | Registered | Notice Filed |
|------------------------------------|------------|--------------|
| Approved | 1 | 14 |
| Applications Abandoned | 0 | 0 |
| Applications Denied | 0 | 0 |
| Registrations Terminated/Withdrawn | 2 | 6 |

| | | |
|--|------------|--------------|
| Gain (+) /Loss (-) IA's between July & August | -1 | 8 |
| Total IA's Registered as of August 2025 | 120 | 2,097 |

Investment Adviser Representatives

| Activity | Registered | Notice Filed |
|---|------------|--------------|
| Approved | 99 | 0 |
| Denied | 0 | 0 |
| Terminated | 103 | 4 |
| Gain (+) /Loss (-) IAR's between July & August | -4 | -4 |
| Total IAR's Registered as of August 2025 | 176 | 4,869 |

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ties



Total

30

0

0

4

-2

1,315



Total

3,800

0

1,913

1,887

152,913



Total

15

0

0

8

7
2,217

Total
99
0
107
-8
5,045