

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Registrations Terminated/Withdrawn	4	0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Registrations Terminated/Withdrawn	2	6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