

### Securities Registrations

| Filing/Security Type             | Manual | Electronic | Total |
|----------------------------------|--------|------------|-------|
| New Mutual Fund Notice Filings   | 4      | 67         | 71    |
| New UIT Notice Filings           | 104    | 43         | 147   |
| Renewal Filings                  | 1784   | 1755       | 3539  |
| Additions                        | 17     | 307        | 324   |
| Oversales                        | 26     | 62         | 88    |
| Common Stock                     | 0      | 0          | 0     |
| Limited Partnerships             | 0      | 0          | 0     |
| Preferred Stock                  | 0      | 0          | 0     |
| REIT                             | 5      | 0          | 5     |
| 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 September 2025</b> | <b>0</b> | <b>0</b>    |

### Loan Broker Act

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

|   |           |
|---|-----------|
| Loan Broker renewal filing                                | 0         |
| <b>Total Loan Brokers Registered as of September 2025</b> | <b>17</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 September 2025</b> | <b>6</b> |

#### Franchise Exemption

| Activity   | Total     |
|--|-----------|
| <b>Franchise Exemption filings Received as of September 2025</b> | <b>16</b> |



## Bureau of Securities Monthly Report

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### Broker-Dealers and Broker-Dealer Agents

#### Broker-Dealers

| Activity   | FINRA        | NON-FINRA |
|--|--------------|-----------|
| Approved   | 3            | 0         |
| Applications Abandoned                             | 0            | 0         |
| Applications Denied                                | 0            | 0         |
| Registrations Terminated/Withdrawn                 | 2            | 0         |
| Gain (+) /Loss (-) BD's between August & September | 1            | 0         |
| <b>Total BD's Registered as of September 2025</b>  | <b>1,288</b> | <b>28</b> |

#### Broker-Dealer Agents

| Activity  | FINRA          | NON-FINRA |
|---|----------------|-----------|
| Approved  | 3,915          | 0         |
| Denied  | 0              | 0         |
| Terminations  | 2,104          | 0         |
| Gain (+) /Loss (-) BDA's between August & September | 1,811          | 0         |
| <b>Total BDA's Registered as of September 2025</b>  | <b>154,659</b> | <b>65</b> |

### Investment Advisers and Representatives

#### Investment Advisers

| Activity                           | Registered | Notice Filed |
|------------------------------------|------------|--------------|
| Approved                           | 1          | 15           |
| Applications Abandoned             | 0          | 0            |
| Applications Denied                | 0          | 0            |
| Registrations Terminated/Withdrawn | 1          | 12           |

|   |            |              |
|---|------------|--------------|
| Gain (+) /Loss (-) IA's between August & Septembe | 0          | 3            |
| <b>Total IA's Registered as of September 2025</b> | <b>120</b> | <b>2,100</b> |

### Investment Adviser Representatives

| Activity   | Registered | Notice Filed |
|--|------------|--------------|
| Approved   | 2          | 147          |
| Denied   | 0          | 0            |
| Terminated   | 3          | 48           |
| Gain (+) /Loss (-) IAR's between August & Septembe | -1         | 99           |
| <b>Total IAR's Registered as of September 2025</b> | <b>175</b> | <b>4,968</b> |

ties





ties



Total  
3  
0  
0  
2  
1  
**1,316**



Total  
3,915  
0  
2,104  
1,811  
**154,724**



Total  
16  
0  
0  
13

3  
2,220



**Total**  
149  
0  
51  
98  
**5,143**