



**Bureau of Securities
Monthly Report**

October 2025

Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	32	28	60
New UIT Notice Filings	106	1720	1826
Renewal Filings	0	1651	1651
Increases	277	260	537
Oversales	83	49	132
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	4	0	4
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 October 2025	0	0

Loan Broker Act

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

Loan Broker renewal filing	1
Total Loan Brokers Registered as of October 2025	17
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 October 2025	6
Franchise Exemption	
Activity	Total
Franchise Exemption filings Received as of October 2025	8



Bureau of Securities
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October 2024
Page 2

Broker-Dealers and Broker-Dealer Agents		
Broker-Dealers		
Activity	FINRA	NON-FINRA
Approved	6	0
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	5	0
Gain (+) /Loss (-) BD's between September & October	1	0
Total BD's Registered as of October 2025	1,289	28

Broker-Dealer Agents		
Activity	FINRA	NON-FINRA
Approved	2849	0
Denied	0	0
Terminations	1,937	0
Gain (+) /Loss (-) BDA's between September & October	912	0
Total BDA's Registered as of October 2025	155,571	65

Investment Advisers and Representatives		
Investment Advisers		
Activity	Registered	Notice Filed
Approved	1	21
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	2	8

Gain (+) /Loss (-) IA's between September & Octob	-1	13
Total IA's Registered as of October 2025	119	2,113

Investment Adviser Representatives

Activity	Registered	Notice Filed
Approved	10	89
Denied	0	0
Terminated	11	41
Gain (+) /Loss (-) IAR's between September & Octob	-1	48
Total IAR's Registered as of October 2025	174	5,016

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ties



Total

6

0

0

5

1

1,317



Total

2,849

0

1,937

912

155,636



Total

22

0

0

10

12
2,232

Total
99
0
52
47
5,190