

### 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
<b>Total Exemptions Received as of October 2025</b>	<b>0</b>	<b>0</b>

### Loan Broker Act

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

Loan Broker renewal filing	1
<b>Total Loan Brokers Registered as of October 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 October 2025</b>	<b>6</b>

#### Franchise Exemption

Activity	Total
<b>Franchise Exemption filings Received as of October 2025</b>	<b>8</b>



## Bureau of Securities Monthly Report

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Registrations Terminated/Withdrawn	5	0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
<b>Total BD's Registered as of October 2025</b>	<b>1,289</b>	<b>28</b>

#### 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
<b>Total BDA's Registered as of October 2025</b>	<b>155,571</b>	<b>65</b>

### 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Registrations Terminated/Withdrawn	2	8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
<b>Total IA's Registered as of October 2025</b>	<b>119</b>	<b>2,113</b>

### 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
<b>Total IAR's Registered as of October 2025</b>	<b>174</b>	<b>5,016</b>

ties





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