

### Securities Registrations

| Filing/Security Type             | Manual | Electronic | Total |
|----------------------------------|--------|------------|-------|
| New Mutual Fund Notice Filings   | 0      | 0          | 0     |
| New UIT Notice Filings           | 0      | 0          | 0     |
| Renewal Filings                  | 0      | 0          | 0     |
| Additions                        | 0      | 0          | 0     |
| Oversales                        | 0      | 0          | 0     |
| Common Stock                     | 0      | 0          | 0     |
| Limited Partnerships             | 0      | 0          | 0     |
| Preferred Stock                  | 0      | 0          | 0     |
| REIT                             | 0      | 0          | 0     |
| 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 December 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 December 2025</b> | <b>15</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 December 2025</b> | <b>6</b> |

#### Franchise Exemption

| Activity  | Total    |
|---|----------|
| <b>Franchise Exemption filings Received as of December 2025</b> | <b>6</b> |



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### Broker-Dealers and Broker-Dealer Agents

#### Broker-Dealers

| Activity   | FINRA        | NON-FINRA |
|--|--------------|-----------|
| Approved   | 0            | 0         |
| Applications Abandoned                           | 0            | 0         |
| Applications Denied                              | 0            | 0         |
| Registrations Terminated/Withdrawn               | 14           | 0         |
| Gain (+) /Loss (-) BD's between November & Decem | -14          | 0         |
| <b>Total BD's Registered as of December 2025</b> | <b>1,269</b> | <b>28</b> |

#### Broker-Dealer Agents

| Activity  | FINRA          | NON-FINRA |
|---|----------------|-----------|
| Approved  | -              | 0         |
| Denied  |                | 0         |
| Terminations                                      | 12,300         | 0         |
| Gain (+) /Loss (-) BDA's between November & Decem | -12,300        | 0         |
| <b>Total BDA's Registered as of December 2025</b> | <b>143,831</b> | <b>69</b> |

### Investment Advisers and Representatives

#### Investment Advisers

| Activity                           | Registered | Notice Filed |
|------------------------------------|------------|--------------|
| Approved                           | 0          | 0            |
| Applications Abandoned             | 0          | 0            |
| Applications Denied                | 0          | 0            |
| Registrations Terminated/Withdrawn | 12         | 176          |

|  |            |              |
|--|------------|--------------|
| Gain (+) /Loss (-) IA's between November & Decem | 12         | -176         |
| <b>Total IA's Registered as of December 2025</b> | <b>130</b> | <b>1,962</b> |

### Investment Adviser Representatives

| Activity  | Registered | Notice Filed |
|---|------------|--------------|
| Approved  | 0          | 0            |
| Denied  | 0          | 0            |
| Terminated  | 7          | 418          |
| Gain (+) /Loss (-) IAR's between November & Decem | 7          | -418         |
| <b>Total IAR's Registered as of December 2025</b> | <b>180</b> | <b>4,601</b> |

ties





ties



Total  
0  
0  
0  
14  
-14  
1,297



Total  
0  
0  
12,300  
-12,300  
143,900



Total  
0  
0  
0  
188

-164

2,092



Total

0

0

425

-411

4,781