



**DEPARTMENT OF BANKING  
AND FINANCE**

**Bureau of Securities  
Monthly Report**

August 2024

**Securities Registrations**

<b>Filing/Security Type</b>	<b>Manual</b>	<b>Electronic</b>	<b>Total</b>
New Mutual Fund Notice Filings	1	35	36
New UIT Notice Filings	81	23	104
Renewal Filings	16	1907	1923
Additions	6	352	358
Oversales	20	58	78
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	11	0	11
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**

<b>Exemption Type</b>	<b>Filings</b>	<b>Withdrawals</b>
8-1108.02(2) Paper	1	0
8-1108.02(2) Electronic	48	0
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	1	0
8-1111(11)(a) and (b)	0	0
8-1111(14)	0	0
8-1111(15)	1	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	9	0
<b>Total Exemptions Received as of August 2024</b>	<b>60</b>	<b>0</b>

**Loan Broker Act**

<b>Activity</b>	<b>Total</b>
New Loan Broker filing	1
Loan Broker amendment filing	0
Loan Broker renewal filing	0

Total Loan Brokers Registered as of August 2024

15

### 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 August 2024</b>	<b>6</b>

### Franchise Exemption

Activity	Total
<b>Franchise Exemption filings Received as of August 2024</b>	<b>17</b>



DEPARTMENT OF BANKING  
AND FINANCE

## Bureau of Securities Monthly Report

August 2024

Page 2

### Broker-Dealers and Broker-Dealer Agents

#### Broker-Dealers

Activity	FINRA	NON-FINRA	Total
Approved	7	0	7
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	43	0	43
Gain (+) /Loss (-) BD's between July & August	-36	0	-36
<b>Total BD's Registered as of August 2024</b>	<b>1,312</b>	<b>28</b>	<b>1,340</b>

#### Broker-Dealer Agents

Activity	FINRA	NON-FINRA	Total
Approved	2,973	1	2,974
Denied	0	0	0
Terminations	2,004	0	2,004
Gain (+) /Loss (-) BDA's between July & August	969	1	970
<b>Total BDA's Registered as of August 2024</b>	<b>144,495</b>	<b>68</b>	<b>144,563</b>

### Investment Advisers and Representatives

#### Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	1	17	18
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	8	55	63
Gain (+) /Loss (-) IA's between July & August	9	72	81
<b>Total IA's Registered as of August 2024</b>	<b>124</b>	<b>2,013</b>	<b>2,137</b>

## Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	3	60	63
Denied	0	0	0
Terminated	13	72	85
Gain (+) /Loss (-) IAR's between July & August	16	132	148
<b>Total IAR's Registered as of August 2024</b>	<b>185</b>	<b>4,705</b>	<b>4,890</b>