



DEPARTMENT OF BANKING AND FINANCE

Bureau of Securities Monthly Report

January 2024

Securities Registrations

Table with 4 columns: Filing/Security Type, Manual, Electronic, Total. Rows include New Mutual Fund Notice Filings, New UIT Notice Filings, Renewal Filings, Additions, Oversales, Common Stock, Limited Partnerships, Preferred Stock, REIT, BDC, Debt, Qualification, Other, Denials, Sales of Unregistered Securities, and Withdrawals.

Exemptions

Table with 3 columns: Exemption Type, Filings, Withdrawals. Rows include 8-1108.02(2) Paper, 8-1108.02(2) Electronic, 8-1110(5)(b), 8-1110(8), 8-1111(9), 8-1111(11)(a) and (b), 8-1111(14), 8-1111(15), 8-1111(16), 8-1111(20), 8-1111(21), 8-1111(23), and Reg A tier 2. Total Exemptions Received as of January 2024: 73 Filings, 0 Withdrawals.

Loan Broker Act

Table with 2 columns: Activity, Total. Rows include New Loan Broker filing, Loan Broker amendment filing, and Loan Broker renewal filing.

Total Loan Brokers Registered as of January 2024

20

### 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 January 2024</b>	<b>6</b>

### Franchise Exemption

Activity	Total
<b>Franchise Exemption filings Received as of January 2024</b>	<b>12</b>



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### Broker-Dealers and Broker-Dealer Agents

#### Broker-Dealers

Activity	FINRA	NON-FINRA	Total
Approved	10	0	10
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	14	3	17
Gain (+) /Loss (-) BD's between December and Janu	-4	-3	-7
<b>Total BD's Registered as of January 2024</b>	<b>1,304</b>	<b>26</b>	<b>1,330</b>

#### Broker-Dealer Agents

Activity	FINRA	NON-FINRA	Total
Approved	5500	0	5,500
Denied		0	0
Terminations	7,719	30	7,749
Gain (+) /Loss (-) BDA's between December and January	-2,219	-30	-2,249
<b>Total BDA's Registered as of January 2024</b>	<b>137,380</b>	<b>57</b>	<b>137,437</b>

### Investment Advisers and Representatives

#### Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	3	28	31
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	3	2	5
Gain (+) /Loss (-) IA's between December and Janu:	0	26	26
<b>Total IA's Registered as of January 2024</b>	<b>116</b>	<b>1,902</b>	<b>2,018</b>

## Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	4	138	142
Denied	0	0	0
Terminated	12	124	136
Gain (+) /Loss (-) IAR's between December and January	-8	14	6
<b>Total IAR's Registered as of January 2024</b>	<b>160</b>	<b>4,598</b>	<b>4,758</b>