



**DEPARTMENT OF BANKING
AND FINANCE**

**Bureau of Securities
Monthly Report**

January 2025

Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	0	37	37
New UIT Notice Filings	122	41	163
Renewal Filings	23	1655	1678
Additions	10	461	471
Oversales	39	41	80
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	55	0
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	9	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 January 2025	64	0

Loan Broker Act

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

Total Loan Brokers Registered as of January 2025

18

SAMP Act

Business Opportunities

Activity	Total
New Business Opportunity filing	0
Business Opportunity amendment filing	0
Business Opportunity renewal filing	1
Total filings as of January 2025	6

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of January 2025	6



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Broker-Dealers and Broker-Dealer Agents

Broker-Dealers

Activity	FINRA	NON-FINRA	Total
Approved	2	0	2
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	9	0	9
Gain (+) /Loss (-) BD's between December and Janu	11	0	11
Total BD's Registered as of January 2025	1,280	28	1,308

Broker-Dealer Agents

Activity	FINRA	NON-FINRA	Total
Approved	4674	57	4,731
Denied		0	0
Terminations	1,683	64	1,747
Gain (+) /Loss (-) BDA's between December and January	2,991	-7	2,984
Total BDA's Registered as of January 2025	146,822	62	146,884

Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	1	34	35
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	9	16	25
Gain (+) /Loss (-) IA's between December and Janu:	-8	18	10
Total IA's Registered as of January 2025	122	1,980	2,102

Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	5	125	130
Denied	0	0	0
Terminated	4	110	114
Gain (+) /Loss (-) IAR's between December and January	1	15	16
Total IAR's Registered as of January 2025	181	4,616	4,797