



**DEPARTMENT OF BANKING
AND FINANCE**

**Bureau of Securities
Monthly Report**

March 2023

Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	4	36	40
New UIT Notice Filings	87	0	87
Renewal Filings	47	2058	2105
Additions	12	303	315
Oversales	4	72	76
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	4	0	4
BDC	4	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	1	0
8-1108.02(2) Electronic	110	9
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	5	1
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	25	0
Total Exemptions Received as of March 2023	142	10

Loan Broker Act

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

Total Loan Brokers Registered as of March 2023

21

SAMP Act

Business Opportunities

Activity	Total
New Business Opportunity filing	0
Business Opportunity amendment filing	0
Business Opportunity renewal filing	0
Total filings as of March 2023	6

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of March 2023	20



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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Registrations Terminated/Withdrawn	3	0	3
Gain (+) /Loss (-) BD's between February & March	7	0	7
Total BD's Registered as of March 2023	1,334	29	1,363

Broker-Dealer Agents

Activity	FINRA	NON-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	3625	0	3,625
Denied		0	0
Terminations	1,559	0	1,559
Gain (+) /Loss (-) BDA's between February & March	2,066	0	2,066
Total BDA's Registered as of March 2023	140,665	87	140,752

Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	1	78	79
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	0	16	16
Gain (+) /Loss (-) IA's between February & March	1	62	63
Total IA's Registered as of March 2023	107	1,909	2,016

Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	0	63	63
Denied	0	0	0
Terminated	1	36	37
Gain (+) /Loss (-) IAR's between February & March	-1	27	26
Total IAR's Registered as of March 2023	159	4,715	4,874