



**DEPARTMENT OF BANKING  
AND FINANCE**

**Bureau of Securities  
Monthly Report**

March 2024

**Securities Registrations**

<b>Filing/Security Type</b>	<b>Manual</b>	<b>Electronic</b>	<b>Total</b>
New Mutual Fund Notice Filings	14	30	44
New UIT Notice Filings	91	0	91
Renewal Filings	53	1737	1790
Additions	10	335	345
Oversales	11	37	48
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**

<b>Exemption Type</b>	<b>Filings</b>	<b>Withdrawals</b>
8-1108.02(2) Paper	0	0
8-1108.02(2) Electronic	57	0
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	4	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 March 2024</b>	<b>61</b>	<b>0</b>

**Loan Broker Act**

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

Total Loan Brokers Registered as of March 2024

21

### 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 March 2024</b>	<b>6</b>

### Franchise Exemption

Activity	Total
<b>Franchise Exemption filings Received as of March 2024</b>	<b>19</b>



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### Broker-Dealers and Broker-Dealer Agents

#### Broker-Dealers

Activity	FINRA	NON-FINRA	Total
Approved	8	0	8
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	0	0	0
Gain (+) /Loss (-) BD's between March & April	8	0	8
<b>Total BD's Registered as of March 2024</b>	<b>1,315</b>	<b>26</b>	<b>1,341</b>

#### Broker-Dealer Agents

Activity	FINRA	NON-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	2198	1	2,199
Denied		0	0
Terminations	1,573	0	1,573
Gain (+) /Loss (-) BDA's between March & April	625	1	626
<b>Total BDA's Registered as of March 2024</b>	<b>143,669</b>	<b>58</b>	<b>143,727</b>

### Investment Advisers and Representatives

#### Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	2	78	80
Applications Abandoned	0	65	65
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	2	30	32
Gain (+) /Loss (-) IA's between March & April	0	48	48
<b>Total IA's Registered as of March 2024</b>	<b>116</b>	<b>1,967</b>	<b>2,083</b>

## Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	3	63	66
Denied	0	0	0
Terminated	3	99	102
Gain (+) /Loss (-) IAR's between March & April	0	-36	-36
<b>Total IAR's Registered as of March 2024</b>	<b>178</b>	<b>4,650</b>	<b>4,828</b>