



**DEPARTMENT OF BANKING
AND FINANCE**

**Bureau of Securities
Monthly Report**

March 2025

Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	0	31	31
New UIT Notice Filings	90	24	114
Renewal Filings	53	1642	1695
Additions	7	386	393
Oversales	30	60	90
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	1	0
8-1108.02(2) Electronic	49	0
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	4	0
8-1111(11)(a) and (b)	1	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 March 2025	55	0

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 2025

17

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 2025	6

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of March 2025	17



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Broker-Dealers and Broker-Dealer Agents

Broker-Dealers

Activity	FINRA	NON-FINRA	Total
Approved	4	0	4
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	1	0	1
Gain (+) /Loss (-) BD's between March & April	3	0	3
Total BD's Registered as of March 2025	1,285	28	1,313

Broker-Dealer Agents

Activity	FINRA	NON-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	2407	58	2,465
Denied		0	0
Terminations	1,547	57	1,604
Gain (+) /Loss (-) BDA's between March & April	860	1	861
Total BDA's Registered as of March 2025	148,614	63	148,677

Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	1	78	79
Applications Abandoned	0	65	65
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	0	23	23
Gain (+) /Loss (-) IA's between March & April	1	55	56
Total IA's Registered as of March 2025	124	2,055	2,179

Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	1	73	74
Denied	0	0	0
Terminated	0	120	120
Gain (+) /Loss (-) IAR's between March & April	1	-47	-46
Total IAR's Registered as of March 2025	186	4,686	4,872