



**DEPARTMENT OF BANKING
AND FINANCE**

**Bureau of Securities
Monthly Report**

May 2023

Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	3	154	157
New UIT Notice Filings	102	0	102
Renewal Filings	50	2164	2214
Additions	17	222	239
Oversales	17	27	44
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	15	0	15
BDC	3	0	3
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	2	0
8-1108.02(2) Electronic	46	0
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	7	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	30	0
Total Exemptions Received as of May 2023	85	0

Loan Broker Act

Activity	Total
New Loan Broker filing	0
Loan Broker amendment filing	0
Loan Broker renewal filing	2

Total Loan Brokers Registered as of May 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 May 2023	6

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of May 2023	40



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Page 2

Broker-Dealers and Broker-Dealer Agents

Broker-Dealers

Activity	FINRA	NON-FINRA	Total
Approved	5	0	5
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	0	0	0
Gain (+) /Loss (-) BD's between April & May	5	0	5
Total BD's Registered as of May 2023	1,348	30	1,378

Broker-Dealer Agents

Activity	FINRA	NON-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	2691	0	2,691
Denied		0	0
Terminations	2,352	0	2,352
Gain (+) /Loss (-) BDA's between April & May	339	0	339
Total BDA's Registered as of May 2023	142,102	88	142,190

Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	0	1	1
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	0	6	6
Gain (+) /Loss (-) IA's between April & May	0	7	7
Total IA's Registered as of May 2023	111	1,927	2,038

Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	1	100	101
Denied	0	0	0
Terminated	1	140	141
Gain (+) /Loss (-) IAR's between April & May	0	-40	-40
Total IAR's Registered as of May 2023	163	4,625	4,788