



DEPARTMENT OF BANKING AND FINANCE

Bureau of Securities Monthly Report May 2025

Securities Registrations

Table with 4 columns: Filing/Security Type, Manual, Electronic, Total. Rows include New Mutual Fund Notice Filings, New UIT Notice Filings, Renewal Filings, Additions, Oversales, Common Stock, Limited Partnerships, Preferred Stock, REIT, BDC, Debt, Qualification, Other, Denials, Sales of Unregistered Securities, and Withdrawals.

Exemptions

Table with 3 columns: Exemption Type, Filings, Withdrawals. Rows include 8-1108.02(2) Paper, 8-1108.02(2) Electronic, 8-1110(5)(b), 8-1110(8), 8-1111(9), 8-1111(11)(a) and (b), 8-1111(14), 8-1111(15), 8-1111(16), 8-1111(20), 8-1111(21), 8-1111(23), Reg A tier 2, and Total Exemptions Received as of May 2025.

Loan Broker Act

Table with 2 columns: Activity, Total. Rows include New Loan Broker filing, Loan Broker amendment filing, and Loan Broker renewal filing.

Total Loan Brokers Registered as of May 2025

16

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 May 2025	6

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of May 2025	25



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Broker-Dealers and Broker-Dealer Agents

Broker-Dealers

Activity	FINRA	NON-FINRA	Total
Approved	6	0	6
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	4	0	4
Gain (+) /Loss (-) BD's between April & May	2	0	2
Total BD's Registered as of May 2025	1,283	28	1,311

Broker-Dealer Agents

Activity	FINRA	NON-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	2476	56	2,532
Denied		0	0
Terminations	2,076	0	2,076
Gain (+) /Loss (-) BDA's between April & May	400	0	400
Total BDA's Registered as of May 2025	149,438	65	149,503

Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	0	21	21
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	4	4	8
Gain (+) /Loss (-) IA's between April & May	-4	17	13
Total IA's Registered as of May 2025	123	2,075	2,198

Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	0	68	68
Denied	0	0	0
Terminated	3	40	43
Gain (+) /Loss (-) IAR's between April & May	-3	28	25
Total IAR's Registered as of May 2025	183	4,751	4,934