



**DEPARTMENT OF BANKING
AND FINANCE**

**Bureau of Securities
Monthly Report**

November 2022

Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	3	15	18
New UIT Notice Filings	107	0	107
Renewal Filings	42	1673	1715
Additions	13	316	329
Oversales	7	74	81
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	7	0	7
BDC	0	0	0
Debt	0	0	0
Qualification	0	0	0
Other	4	0	4
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	0	0
8-1108.02(2) Electronic	66	15
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	1	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	24	0
Total Exemptions Received as of November 2022	91	15

Loan Broker Act

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

Total Loan Brokers Registered as of November 2022

19

SAMP Act

Business Opportunities

Activity	Total
New Business Opportunity filing	-
Business Opportunity amendment filing	-
Business Opportunity renewal filing	0
Total filings as of November 2022	6

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of November 2022	19



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Broker-Dealers and Broker-Dealer Agents

Broker-Dealers

Activity	FINRA	NON-FINRA	Total
Approved	3	0	3
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	8	0	8
Gain (+) /Loss (-) BD's between October & November	-5	0	-5
Total BD's Registered as of November 2022	1,336	29	1,365

Broker-Dealer Agents

Activity	FINRA	NON-FINRA	Total
Approved	2834	0	2,834
Denied		0	0
Terminations	1,610	0	1,610
Gain (+) /Loss (-) BDA's between October & November	1,224	0	1,224
Total BDA's Registered as of November 2022	137,628	87	137,715

Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	0	15	15
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	0	5	5
Gain (+) /Loss (-) IA's between October & November	0	10	10
Total IA's Registered as of November 2022	105	1,875	1,980

Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	0	93	93
Denied	0	0	0
Terminated	0	48	48
Gain (+) /Loss (-) IAR's between October & November	0	45	45
Total IAR's Registered as of November 2022	164	4,704	4,868