



DEPARTMENT OF BANKING AND FINANCE

Bureau of Securities Monthly Report

November 2023

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, etc.

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), etc.

Loan Broker Act

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

Total Loan Brokers Registered as of November 2023

19

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 November 2023	6

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of November 2023	17



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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Registrations Terminated/Withdrawn	17	0	17
Gain (+) /Loss (-) BD's between October & November	-12	0	-12
Total BD's Registered as of November 2023	1,321	29	1,350

Broker-Dealer Agents

Activity	FINRA	NON-FINRA	Total
Approved	2408	0	2,408
Denied		0	0
Terminations	1,961	0	1,961
Gain (+) /Loss (-) BDA's between October & November	447	0	447
Total BDA's Registered as of November 2023	145,827	87	145,914

Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	0	20	20
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	2	33	35
Gain (+) /Loss (-) IA's between October & November	-2	53	51
Total IA's Registered as of November 2023	119	1,977	2,096

Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	0	85	85
Denied	0	0	0
Terminated	2	69	71
Gain (+) /Loss (-) IAR's between October & November	-2	16	14
Total IAR's Registered as of November 2023	171	4,699	4,870