



**DEPARTMENT OF BANKING  
AND FINANCE**

**Bureau of Securities  
Monthly Report**

November 2024

**Securities Registrations**

<b>Filing/Security Type</b>	<b>Manual</b>	<b>Electronic</b>	<b>Total</b>
New Mutual Fund Notice Filings	13	17	30
New UIT Notice Filings	79	1	80
Renewal Filings	22	1643	1665
Increases	12	328	340
Oversales	23	43	66
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	13	0	13
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**

<b>Exemption Type</b>	<b>Filings</b>	<b>Withdrawals</b>
8-1108.02(2) Paper	0	0
8-1108.02(2) Electronic	5	0
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	8	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	0	0
<b>Total Exemptions Received as of November 2024</b>	<b>13</b>	<b>0</b>

**Loan Broker Act**

<b>Activity</b>	<b>Total</b>
New Loan Broker filing	0
Loan Broker amendment filing	0
Loan Broker renewal filing	0

Total Loan Brokers Registered as of November 2024

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**SAMP Act**

**Business Opportunities**

Activity	Total
New Business Opportunity filing	0
Business Opportunity amendment filing	0
Business Opportunity renewal filing	1
<b>Total filings as of November 2024</b>	<b>6</b>

**Franchise Exemption**

Activity	Total
<b>Franchise Exemption filings Received as of November 2024</b>	<b>6</b>



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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Registrations Terminated/Withdrawn	4	0	4
Gain (+) /Loss (-) BD's between October & November	-1	0	-1
<b>Total BD's Registered as of November 2024</b>	<b>1,303</b>	<b>28</b>	<b>1,331</b>

**Broker-Dealer Agents**

Activity	FINRA	NON-FINRA	Total
Approved	2166	0	2,166
Denied		0	0
Terminations	1,775	0	1,775
Gain (+) /Loss (-) BDA's between October & November	391	0	391
<b>Total BDA's Registered as of November 2024</b>	<b>148,066</b>	<b>69</b>	<b>148,135</b>

**Investment Advisers and Representatives**

**Investment Advisers**

Activity	Registered	Notice Filed	Total
Approved	3	29	32
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	0	9	9
Gain (+) /Loss (-) IA's between October & November	3	20	23
<b>Total IA's Registered as of November 2024</b>	<b>128</b>	<b>2,047</b>	<b>2,175</b>

## Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	2	93	95
Denied	0	0	0
Terminated	0	84	84
Gain (+) /Loss (-) IAR's between October & November	2	177	179
<b>Total IAR's Registered as of November 2024</b>	<b>188</b>	<b>4,937</b>	<b>5,125</b>