

Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	1	43	44
New UIT Notice Filings	149	0	149
Renewal Filings	64	1942	2006
Additions	7	337	344
Oversales	17	75	92
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	9	0	9
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	0	0
8-1108.02(2) Electronic	16	0
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	5	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	13	0
Total Exemptions Received as of October 2022	34	0

Loan Broker Act

Activity	Total
New Loan Broker filing	0
Loan Broker amendment filing	0
Loan Broker renewal filing	0
Total Loan Brokers Registered as of October 2022	18

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 October 2022	6

Franchise Exemption



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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Registrations Terminated/Withdrawn	5	0	5
Gain (+) /Loss (-) BD's between September & October	1	0	1
Total BD's Registered as of October 2022	1,341	29	1,370

Broker-Dealer Agents

Activity	FINRA	NON-FINRA	Total
Approved	3384	0	3,384
Denied	0	0	0
Terminations	950	0	950
Gain (+) /Loss (-) BDA's between September & October	2,434	0	2,434
Total BDA's Registered as of October 2022	136,404	87	136,491

Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	3	12	15
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	0	7	7
Gain (+) /Loss (-) IA's between September & October	3	5	8
Total IA's Registered as of October 2022	105	1,865	1,970

Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	5	128	133
Denied	0	0	0
Terminated	0	133	133
Gain (+) /Loss (-) IAR's between September & October	5	-5	0
Total IAR's Registered as of October 2022	164	4,659	4,823