



DEPARTMENT OF BANKING AND FINANCE

Bureau of Securities Monthly Report

September 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, 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 September 2023.

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 September 2023

18

### SAMP Act

### Business Opportunities

Activity	Total
New Business Opportunity filing	0
Business Opportunity amendment filing	0
Business Opportunity renewal filing	0
<b>Total filings as of September 2023</b>	<b>6</b>

### Franchise Exemption

Activity	Total
<b>Franchise Exemption filings Received as of September 2023</b>	<b>35</b>



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### Broker-Dealers and Broker-Dealer Agents

#### Broker-Dealers

Activity	FINRA	NON-FINRA	Total
Approved	4	0	4
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	8	0	8
Gain (+) /Loss (-) BD's between August & September	-4	0	-4
<b>Total BD's Registered as of September 2023</b>	<b>1,342</b>	<b>30</b>	<b>1,372</b>

#### Broker-Dealer Agents

Activity	FINRA	NON-FINRA	Total
Approved	3,742	0	3,742
Denied	0	0	0
Terminations	3,788	0	3,788
Gain (+) /Loss (-) BDA's between August & September	-46	0	-46
<b>Total BDA's Registered as of September 2023</b>	<b>144,449</b>	<b>88</b>	<b>144,537</b>

### Investment Advisers and Representatives

#### Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	0	14	14
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	0	5	5
Gain (+) /Loss (-) IA's between August & September	0	9	9
<b>Total IA's Registered as of September 2023</b>	<b>120</b>	<b>1,966</b>	<b>2,086</b>

## Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	1	89	90
Denied	0	0	0
Terminated	1	75	76
Gain (+) /Loss (-) IAR's between August & Septembe	0	14	14
<b>Total IAR's Registered as of September 2023</b>	<b>172</b>	<b>4,659</b>	<b>4,831</b>