



DEPARTMENT OF BANKING
AND FINANCE

Bureau of Securities Monthly Report

September 2024

Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	5	85	90
New UIT Notice Filings	84	32	116
Renewal Filings	36	1780	1816
Additions	8	309	317
Oversales	22	44	66
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	4	0	4
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

Exemption Type	Filings	Withdrawals
8-1108.02(2) Paper	0	0
8-1108.02(2) Electronic	65	0
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	7	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	2	0
Total Exemptions Received as of September 2024	74	0

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 September 2024

16

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 September 2024	6

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of September 2024	16



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Broker-Dealers and Broker-Dealer Agents

Broker-Dealers

Activity	FINRA	NON-FINRA	Total
Approved	7	0	7
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	7	0	7
Gain (+) /Loss (-) BD's between August & Septembe	0	0	0
Total BD's Registered as of September 2024	1,312	28	1,340

Broker-Dealer Agents

Activity	FINRA	NON-FINRA	Total
Approved	3,165	0	3,165
Denied	0	0	0
Terminations	855	1	856
Gain (+) /Loss (-) BDA's between August & Septembe	2,310	1	2,311
Total BDA's Registered as of September 2024	146,805	69	146,874

Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	3	14	17
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	0	5	5
Gain (+) /Loss (-) IA's between August & Septembe	3	9	12
Total IA's Registered as of September 2024	127	2,022	2,149

Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	0	67	67
Denied	0	0	0
Terminated	1	34	35
Gain (+) /Loss (-) IAR's between August & Septembe	-1	33	32
Total IAR's Registered as of September 2024	184	4,738	4,922