



DEPARTMENT OF BANKING  
AND FINANCE

Bureau of Securities  
Monthly Report  
January 2022

### Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	2	72	74
New UIT Notice Filings	156	0	156
Renewal Filings	55	1677	1732
Additions	23	472	495
Oversales	2	85	87
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	0	0	0
BDC	4	0	4
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	1	0
8-1108.02(2) Electronic	99	2
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)	1	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	6	0
<b>Total Exemptions Received as of January 2022</b>	<b>114</b>	<b>2</b>

### Loan Broker Act

Activity	Total
New Loan Broker filing	0
Loan Broker amendment filing	2
Loan Broker renewal filing	2
<b>Total Loan Brokers Registered as of January 2022</b>	<b>16</b>

### SAMP Act

### Business Opportunities

Activity	Total
New Business Opportunity filing	1
Business Opportunity amendment filing	1
Business Opportunity renewal filing	1
<b>Total filings as of January 2022</b>	<b>5</b>

### Franchise Exemption

Activity	Total
<b>Franchise Exemption filings Received as of January 2022</b>	<b>17</b>

**Broker-Dealers and Broker-Dealer Agents**

<b>Broker-Dealers</b>			
<b>Activity</b>	<b>FINRA</b>	<b>NON-FINRA</b>	<b>Total</b>
Approved	6	0	6
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	12	0	12
Gain (+) /Loss (-) BD's between December and Janu	-6	0	-6
<b>Total BD's Registered as of January 2022</b>	<b>1,295</b>	<b>29</b>	<b>1,324</b>

<b>Broker-Dealer Agents</b>			
<b>Activity</b>	<b>FINRA</b>	<b>NON-FINRA</b>	<b>Total</b>
Approved	5643	0	5,643
Denied		0	0
Terminations	1,866	0	1,866
Gain (+) /Loss (-) BDA's between December and January	3,777	0	3,777
<b>Total BDA's Registered as of January 2022</b>	<b>123,453</b>	<b>87</b>	<b>123,540</b>

**Investment Advisers and Representatives**

<b>Investment Advisers</b>			
<b>Activity</b>	<b>Registered</b>	<b>Notice Filed</b>	<b>Total</b>
Approved	2	29	31
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	0	6	6
Gain (+) /Loss (-) IA's between December and Janu	2	23	25
<b>Total IA's Registered as of January 2022</b>	<b>100</b>	<b>1,703</b>	<b>1,803</b>

<b>Investment Adviser Representatives</b>			
<b>Activity</b>	<b>Registered</b>	<b>Notice Filed</b>	<b>Total</b>
Approved	6	127	133
Denied	0	0	0
Terminated	0	59	59
Gain (+) /Loss (-) IAR's between December and Janu	6	68	74
<b>Total IAR's Registered as of January 2022</b>	<b>159</b>	<b>4,389</b>	<b>4,548</b>