



DEPARTMENT OF BANKING
AND FINANCE

Bureau of Securities
Monthly Report
July 2021

Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	0	62	62
New UIT Notice Filings	170	0	170
Renewal Filings	29	1831	1860
Additions	8	288	296
Oversales	1	41	42
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	11	0	11
BDC	1	0	1
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	4	4

Exemptions

Exemption Type	Filings	Withdrawals
8-1108.02(2) Paper	9	0
8-1108.02(2) Electronic	79	1
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	0	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	5	0
Total Exemptions Received as of July 2021	93	1

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 July 2021	13

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 July 2021	3

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of July 2021	20

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Registrations Terminated/Withdrawn	1	1	2
Gain (+) /Loss (-) BD's between June & July 2020	5	-1	4
Total BD's Registered as of July 2021	1,297	29	1,326

Broker-Dealer Agents			
Activity	FINRA	NON-FINRA	Total
Approved	3,051	0	3,051
Denied	0	0	0
Terminations	2,202	0	2,202
Gain (+) /Loss (-) BDA's between June & July 2020	849	0	849
Total BDA's Registered as of July 2021	118,954	87	119,041

Investment Advisers and Representatives

Investment Advisers			
Activity	Registered	Notice Filed	Total
Approved	1	28	29
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	0	4	4
Gain (+) /Loss (-) IA's between June & July 2020	1	24	25
Total IA's Registered as of July 2021	97	1,697	1,794

Investment Adviser Representatives			
Activity	Registered	Notice Filed	Total
Approved	1	314	315
Denied	0	0	0
Terminated	0	328	328
Gain (+) /Loss (-) IAR's between June & July 2020	1	-14	-13
Total IAR's Registered as of July 2021	153	4,324	4,477