



DEPARTMENT OF BANKING
AND FINANCE

Bureau of Securities
Monthly Report
May 2022

Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	7	99	106
New UIT Notice Filings	98	0	98
Renewal Filings	39	2114	2153
Additions	5	388	393
Oversales	2	74	76
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	17	0	17
BDC	12	0	12
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	2	0
8-1108.02(2) Electronic	73	0
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	13	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 May 2022	93	0

Loan Broker Act

Activity	Total
New Loan Broker filing	1
Loan Broker amendment filing	0
Loan Broker renewal filing	1
Total Loan Brokers Registered as of May 2022	17

SAMP Act

Business Opportunities

Activity	Total
New Business Opportunity filing	1
Business Opportunity amendment filing	0
Business Opportunity renewal filing	0
Total filings as of May 2022	6

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of May 2022	30

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Registrations Terminated/Withdrawn	0	0	0
Gain (+) /Loss (-) BD's between April & May	7	0	7
Total BD's Registered as of May 2022	1,320	30	1,350

Broker-Dealer Agents			
Activity	FINRA	NON-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	2882	0	2,882
Denied		0	0
Terminations	2,237	0	2,237
Gain (+) /Loss (-) BDA's between April & May	645	0	645
Total BDA's Registered as of May 2022	128,785	88	128,873

Investment Advisers and Representatives

Investment Advisers			
Activity	Registered	Notice Filed	Total
Approved	0	15	15
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	0	3	3
Gain (+) /Loss (-) IA's between April & May	0	12	12
Total IA's Registered as of May 2022	102	1,810	1,912

Investment Adviser Representatives			
Activity	Registered	Notice Filed	Total
Approved	1	68	69
Denied	0	0	0
Terminated	0	42	42
Gain (+) /Loss (-) IAR's between April & May	1	26	27
Total IAR's Registered as of May 2022	161	4,548	4,709