



DEPARTMENT OF BANKING
AND FINANCE

Bureau of Securities
Monthly Report

November 2021

Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	10	44	54
New UIT Notice Filings	104	0	104
Renewal Filings	43	1838	1881
Additions	8	311	319
Oversales	3	55	58
Common Stock	0	0	0
Limited Partnerships	2	0	2
Preferred Stock	0	0	0
REIT	4	0	4
BDC	3	0	3
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	92	2
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	6	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 November 2021	103	2

Loan Broker Act

Activity	Total
New Loan Broker filing	1
Loan Broker amendment filing	-
Loan Broker renewal filing	1
Total Loan Brokers Registered as of November 2021	15

SAMP Act

Business Opportunities

Activity	Total
New Business Opportunity filing	-
Business Opportunity amendment filing	-
Business Opportunity renewal filing	0
Total filings as of November 2021	4

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of November 2021	19

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Registrations Terminated/Withdrawn	5	0	5
Gain (+) /Loss (-) BD's between October & Novembe	1	0	1
Total BD's Registered as of November 2021	1,305	29	1,334

Broker-Dealer Agents			
Activity	FINRA	NON-FINRA	Total
Approved	2856	0	2,856
Denied		0	0
Terminations	1,537	0	1,537
Gain (+) /Loss (-) BDA's between October & Novembe	1,319	0	1,319
Total BDA's Registered as of November 2021	124,226	87	124,313

Investment Advisers and Representatives

Investment Advisers			
Activity	Registered	Notice Filed	Total
Approved	3	19	22
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	1	7	8
Gain (+) /Loss (-) IA's between October & Novembe	2	12	14
Total IA's Registered as of November 2021	101	1,747	1,848

Investment Adviser Representatives			
Activity	Registered	Notice Filed	Total
Approved	3	194	197
Denied	0	0	0
Terminated	2	47	49
Gain (+) /Loss (-) IAR's between October & Novembe	1	147	148
Total IAR's Registered as of November 2021	159	4,516	4,675