



DEPARTMENT OF BANKING  
AND FINANCE

Bureau of Securities  
Monthly Report  
April 2020

### Securities Registrations

Filing/Security Type	Paper	Electronic	Total
New Mutual Fund Notice Filings	0	96	96
New UIT Notice Filings	119	0	119
Renewal Filings	46	1856	1902
Additions	9	412	421
Oversales	2	76	78
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	5	0	5
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	1	0
8-1108.02(2) Electronic	31	5
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	9	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	4	0
<b>Total Exemptions Received as of April 2020</b>	<b>45</b>	<b>5</b>

### Loan Broker Act

Activity	Total
New Loan Broker filing	-
Loan Broker amendment filing	-
Loan Broker renewal filing	-
<b>Total Loan Brokers Registered as of April 2020</b>	<b>10</b>

### SAMP Act

### Business Opportunities

Activity	Total
New Business Opportunity filing	-
Business Opportunity amendment filing	-
Business Opportunity renewal filing	-
<b>Total filings as of April 2020</b>	<b>4</b>

### Franchise Exemption

Activity	Total
<b>Franchise Exemption filings Received as of April 2020</b>	<b>18</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	4	1	5
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	4	0	4
Gain (+) /Loss (-) BD's between March & April	0	1	1
<b>Total BD's Registered as of April 2020</b>	<b>1,292</b>	<b>29</b>	<b>1,321</b>

<b>Broker-Dealer Agents</b>			
<b>Activity</b>	<b>FINRA</b>	<b>NON-FINRA</b>	<b>Total</b>
Approved (Includes Automatic, Manual, Temp. Queues)	1062	0	1,062
Denied		0	0
Terminations	998	1	999
Gain (+) /Loss (-) BDA's between March & April	64	-1	63
<b>Total BDA's Registered as of April 2020</b>	<b>110,946</b>	<b>85</b>	<b>111,031</b>

**Investment Advisers and Representatives**

<b>Investment Advisers</b>			
<b>Activity</b>	<b>Registered</b>	<b>Notice Filed</b>	<b>Total</b>
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Registrations Terminated/Withdrawn	0	3	3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 March & April	0	12	12
<b>Total IA's Registered as of April 2020</b>	<b>97</b>	<b>1,535</b>	<b>1,632</b>

<b>Investment Adviser Representatives</b>			
<b>Activity</b>	<b>Registered</b>	<b>Notice Filed</b>	<b>Total</b>
Approved	0	69	69
Denied	0	0	0
Terminated	79	70	149
Gain (+) /Loss (-) IAR's between March & April	-79	-1	-80
<b>Total IAR's Registered as of April 2020</b>	<b>161</b>	<b>4,299</b>	<b>4,460</b>