



DEPARTMENT OF BANKING
AND FINANCE

Bureau of Securities
Monthly Report
April 2022

Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	5	81	86
New UIT Notice Filings	152	0	152
Renewal Filings	43	1960	2003
Additions	7	387	394
Oversales	0	52	52
Common Stock	3	0	3
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	8	0	8
BDC	9	0	9
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	0	0
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	8	0
Total Exemptions Received as of April 2022	8	0

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 April 2022	0

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 April 2022	0

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of April 2022	0

Broker-Dealers and Broker-Dealer Agents

Broker-Dealers			
Activity	FINRA	NON-FINRA	Total
Approved	8	1	9
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	3	0	3
Gain (+) /Loss (-) BD's between March & April	5	1	6
Total BD's Registered as of April 2022	1,313	30	1,343

Broker-Dealer Agents			
Activity	FINRA	NON-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	3035	1	3,036
Denied		0	0
Terminations	1,930	0	1,930
Gain (+) /Loss (-) BDA's between March & April	1,105	1	1,106
Total BDA's Registered as of April 2022	128,140	88	128,228

Investment Advisers and Representatives

Investment Advisers			
Activity	Registered	Notice Filed	Total
Approved	2	12	14
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	1	22	23
Gain (+) /Loss (-) IA's between March & April	1	-10	-9
Total IA's Registered as of April 2022	102	1,798	1,900

Investment Adviser Representatives			
Activity	Registered	Notice Filed	Total
Approved	2	103	105
Denied	0	0	0
Terminated	2	54	56
Gain (+) /Loss (-) IAR's between March & April	0	49	49
Total IAR's Registered as of April 2022	160	4,522	4,682