



**DEPARTMENT OF BANKING
AND FINANCE**

**Bureau of Securities
Monthly Report
March 2023**

Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	4	35	39
New UIT Notice Filings	87	0	87
Renewal Filings	47	2055	2102
Additions	12	303	315
Oversales	4	72	76
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	8	0	8
BDC	7	0	7
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	110	9
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	5	1
8-1111(11)(a) and (b)	0	0
8-1111(14)	0	0
8-1111(15)	1	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	25	0
Total Exemptions Received as of March 2023	142	10

Loan Broker Act

Activity	Total
New Loan Broker filing	0

Loan Broker amendment filing	0
Loan Broker renewal filing	1
Total Loan Brokers Registered as of March 2023	17

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 March 2023	6

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of March 2023	20



Bureau of Security Monthly Report

March 2023

Page 2

Broker-Dealers and Broker-Dealer Agents

Broker-Dealers

Activity	FINRA	NON-FINRA
Approved	10	0
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	3	0
Gain (+) /Loss (-) BD's between February & March	7	0
Total BD's Registered as of March 2023	1,334	29

Broker-Dealer Agents

Activity	FINRA	NON-FINRA
Approved (Includes Automatic, Manual, Temp. Queues)	3625	0
Denied		0
Terminations	1,559	0
Gain (+) /Loss (-) BDA's between February & March	2,066	0
Total BDA's Registered as of March 2023	140,665	87

Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed
Approved	1	78
Applications Abandoned	0	0

Applications Denied	0	0
Registrations Terminated/Withdrawn	0	16
Gain (+) /Loss (-) IA's between February & March	1	62
Total IA's Registered as of March 2023	107	1,909

Investment Adviser Representatives

Activity	Registered	Notice Filed
Approved	0	63
Denied	0	0
Terminated	1	36
Gain (+) /Loss (-) IAR's between February & March	-1	27
Total IAR's Registered as of March 2023	159	4,715

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Total

10

0

0

3

7

1,363



Total

3,625

0

1,559

2,066

140,752



Total

79

0

0
16
63
2,016



Total
63
0
37
26
4,874