



DEPARTMENT OF BANKING AND FINANCE

Bureau of Securities
Monthly Report
November 2022

Securities Registrations

Table with 4 columns: Filing/Security Type, Manual, Electronic, Total. Rows include New Mutual Fund Notice Filings, New UIT Notice Filings, Renewal Filings, Additions, Oversales, Common Stock, Limited Partnerships, Preferred Stock, REIT, BDC, Debt, Qualification, Other, Denials, Sales of Unregistered Securities, and Withdrawals.

Exemptions

Table with 4 columns: Exemption Type, Filings, Withdrawals. Rows include 8-1108.02(2) Paper, 8-1108.02(2) Electronic, 8-1110(5)(b), 8-1110(8), 8-1111(9), 8-1111(11)(a) and (b), 8-1111(14), 8-1111(15), 8-1111(16), 8-1111(20), 8-1111(21), 8-1111(23), Reg A tier 2, and Total Exemptions Received as of November 2022.

Loan Broker Act

Table with 3 columns: Activity, Total. Row includes New Loan Broker filing.

Loan Broker amendment filing	0
Loan Broker renewal filing	0
<b>Total Loan Brokers Registered as of November 2022</b>	<b>19</b>

### SAMP Act

#### Business Opportunities

Activity	Total
New Business Opportunity filing	-
Business Opportunity amendment filing	-
Business Opportunity renewal filing	0
<b>Total filings as of November 2022</b>	<b>6</b>

#### Franchise Exemption

Activity	Total
<b>Franchise Exemption filings Received as of November 2022</b>	<b>19</b>



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### Broker-Dealers and Broker-Dealer Agents

#### Broker-Dealers

Activity	FINRA	NON-FINRA
Approved	3	0
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	8	0
Gain (+) /Loss (-) BD's between October & November	-5	0
<b>Total BD's Registered as of November 2022</b>	<b>1,336</b>	<b>29</b>

#### Broker-Dealer Agents

Activity	FINRA	NON-FINRA
Approved	2834	0
Denied		0
Terminations	1,610	0
Gain (+) /Loss (-) BDA's between October & November	1,224	0
<b>Total BDA's Registered as of November 2022</b>	<b>137,628</b>	<b>87</b>

### Investment Advisers and Representatives

#### Investment Advisers

Activity	Registered	Notice Filed
Approved	0	15
Applications Abandoned	0	0

Applications Denied	0	0
Registrations Terminated/Withdrawn	0	5
Gain (+) /Loss (-) IA's between October & November	0	10
<b>Total IA's Registered as of November 2022</b>	<b>105</b>	<b>1,875</b>

### Investment Adviser Representatives

<b>Activity</b>	<b>Registered</b>	<b>Notice Filed</b>
Approved	0	93
Denied	0	0
Terminated	0	48
Gain (+) /Loss (-) IAR's between October & November	0	45
<b>Total IAR's Registered as of November 2022</b>	<b>164</b>	<b>4,704</b>

**ties**





ties



**Total**

3

0

0

8

-5

**1,365**



**Total**

2,834

0

1,610

1,224

**137,715**



**Total**

15

0

0  
5  
10  
**1,980**



**Total**  
93  
0  
48  
45  
**4,868**