



DEPARTMENT OF BANKING
AND FINANCE

Bureau of Securities
Monthly Report

August 2021

Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	6	52	58
New UIT Notice Filings	111	0	111
Renewal Filings	57	1920	1977
Additions	8	314	322
Oversales	0	51	51
Common Stock	3	0	3
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	3	0	3
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	1	0
8-1108.02(2) Electronic	70	10
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	5	0
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	9	0
Total Exemptions Received as of August 2021	86	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 August 2021	13

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 August 2021	3

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of August 2021	23

Broker-Dealers and Broker-Dealer Agents

Broker-Dealers			
Activity	FINRA	NON-FINRA	Total
Approved	5	0	5
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	0	0	0
Gain (+) /Loss (-) BD's between July & August	5	0	5
Total BD's Registered as of August 2021	1,302	29	1,331

Broker-Dealer Agents			
Activity	FINRA	NON-FINRA	Total
Approved	2,945	0	2,945
Denied	0	0	0
Terminations	1,935	0	1,935
Gain (+) /Loss (-) BDA's between July & August	1,010	0	1,010
Total BDA's Registered as of August 2021	119,964	87	120,051

Investment Advisers and Representatives

Investment Advisers			
Activity	Registered	Notice Filed	Total
Approved	0	16	16
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	2	2	4
Gain (+) /Loss (-) IA's between July & August	-2	14	12
Total IA's Registered as of August 2021	95	1,711	1,806

Investment Adviser Representatives			
Activity	Registered	Notice Filed	Total
Approved	1	63	64
Denied	0	0	0
Terminated	2	53	55
Gain (+) /Loss (-) IAR's between July & August	-1	10	9
Total IAR's Registered as of August 2021	152	4,334	4,486