



**DEPARTMENT OF BANKING
AND FINANCE**

**Bureau of Securities
Monthly Report**

April 2023

Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	7	18	25
New UIT Notice Filings	154	0	154
Renewal Filings	33	1735	1768
Additions	10	210	220
Oversales	7	36	43
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	3	0	3
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	57	18
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	19	0
Total Exemptions Received as of April 2023	86	18

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 April 2023

21

SAMP Act

Business Opportunities

Activity	Total
New Business Opportunity filing	0
Business Opportunity amendment filing	0
Business Opportunity renewal filing	2
Total filings as of April 2023	6

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of April 2023	39



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Broker-Dealers and Broker-Dealer Agents

Broker-Dealers

Activity	FINRA	NON-FINRA	Total
Approved	11	1	12
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	2	0	2
Gain (+) /Loss (-) BD's between March & April	9	1	10
Total BD's Registered as of April 2023	1,343	30	1,373

Broker-Dealer Agents

Activity	FINRA	NON-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	2959	1	2,960
Denied		0	0
Terminations	1,861	0	1,861
Gain (+) /Loss (-) BDA's between March & April	1,098	1	1,099
Total BDA's Registered as of April 2023	141,763	88	141,851

Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	4	17	21
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	0	6	6
Gain (+) /Loss (-) IA's between March & April	4	11	15
Total IA's Registered as of April 2023	111	1,920	2,031

Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	4	45	49
Denied	0	0	0
Terminated	0	95	95
Gain (+) /Loss (-) IAR's between March & April	4	-50	-46
Total IAR's Registered as of April 2023	163	4,665	4,828