



**DEPARTMENT OF BANKING  
AND FINANCE**

**Bureau of Securities  
Monthly Report**

April 2024

**Securities Registrations**

<b>Filing/Security Type</b>	<b>Manual</b>	<b>Electronic</b>	<b>Total</b>
New Mutual Fund Notice Filings	2	38	40
New UIT Notice Filings	161	0	161
Renewal Filings	47	2076	2123
Additions	11	391	402
Oversales	29	42	71
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	0	0	0
BDC	6	0	6
Debt	0	0	0
Qualification	0	0	0
Other	1	0	1
Denials	0	0	0
Sales of Unregistered Securities	0	0	0
Withdrawals	0	0	0

**Exemptions**

<b>Exemption Type</b>	<b>Filings</b>	<b>Withdrawals</b>
8-1108.02(2) Paper	0	0
8-1108.02(2) Electronic	40	18
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	4	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	0	0
<b>Total Exemptions Received as of April 2024</b>	<b>45</b>	<b>18</b>

**Loan Broker Act**

<b>Activity</b>	<b>Total</b>
New Loan Broker filing	1
Loan Broker amendment filing	0
Loan Broker renewal filing	0

Total Loan Brokers Registered as of April 2024

22

### SAMP Act

### Business Opportunities

Activity	Total
New Business Opportunity filing	0
Business Opportunity amendment filing	0
Business Opportunity renewal filing	0
<b>Total filings as of April 2024</b>	<b>6</b>

### Franchise Exemption

Activity	Total
<b>Franchise Exemption filings Received as of April 2024</b>	<b>25</b>



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### Broker-Dealers and Broker-Dealer Agents

#### Broker-Dealers

Activity	FINRA	NON-FINRA	Total
Approved	3	0	3
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	4	0	4
Gain (+) /Loss (-) BD's between March & April	-1	0	-1
<b>Total BD's Registered as of April 2024</b>	<b>1,314</b>	<b>26</b>	<b>1,340</b>

#### Broker-Dealer Agents

Activity	FINRA	NON-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	2466	0	2,466
Denied		0	0
Terminations	1,845	2	1,847
Gain (+) /Loss (-) BDA's between March & April	621	0	621
<b>Total BDA's Registered as of April 2024</b>	<b>144,290</b>	<b>56</b>	<b>144,346</b>

### Investment Advisers and Representatives

#### Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	3	18	21
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	1	2	3
Gain (+) /Loss (-) IA's between March & April	2	16	18
<b>Total IA's Registered as of April 2024</b>	<b>118</b>	<b>1,983</b>	<b>2,101</b>

## Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	2	76	78
Denied	0	0	0
Terminated	4	18	22
Gain (+) /Loss (-) IAR's between March & April	-2	58	56
<b>Total IAR's Registered as of April 2024</b>	<b>176</b>	<b>4,708</b>	<b>4,884</b>