



**DEPARTMENT OF BANKING
AND FINANCE**

**Bureau of Securities
Monthly Report**

April 2025

Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	4	37	41
New UIT Notice Filings	115	0	115
Renewal Filings	39	1475	1514
Additions	5	304	309
Oversales	20	45	65
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	0	0	0
BDC	2	0	2
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	0	0
8-1108.02(2) Electronic	44	0
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	2	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	0	0
Total Exemptions Received as of April 2025	46	0

Loan Broker Act

Activity	Total
New Loan Broker filing	1
Loan Broker amendment filing	0
Loan Broker renewal filing	2

Total Loan Brokers Registered as of April 2025

17

SAMP Act

Business Opportunities

Activity	Total
New Business Opportunity filing	0
Business Opportunity amendment filing	0
Business Opportunity renewal filing	1
Total filings as of April 2025	6

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of April 2025	17



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Broker-Dealers and Broker-Dealer Agents

Broker-Dealers

Activity	FINRA	NON-FINRA	Total
Approved	2	0	2
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	6	0	6
Gain (+) /Loss (-) BD's between March & April	-4	0	-4
Total BD's Registered as of April 2025	1,281	28	1,309

Broker-Dealer Agents

Activity	FINRA	NON-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	2361	56	2,417
Denied		0	0
Terminations	1,937	2	1,939
Gain (+) /Loss (-) BDA's between March & April	424	0	424
Total BDA's Registered as of April 2025	149,038	62	149,100

Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	1	11	12
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	2	8	10
Gain (+) /Loss (-) IA's between March & April	3	3	6
Total IA's Registered as of April 2025	127	2,058	2,185

Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	3	74	77
Denied	0	0	0
Terminated	3	37	40
Gain (+) /Loss (-) IAR's between March & April	0	37	37
Total IAR's Registered as of April 2025	186	4,723	4,909