



**DEPARTMENT OF BANKING
AND FINANCE**

**Bureau of Securities
Monthly Report**

August 2023

Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	7	34	41
New UIT Notice Filings	107	0	107
Renewal Filings	32	1801	1833
Additions	13	216	229
Oversales	13	31	44
Common Stock	0	0	0
Limited Partnerships	1	0	1
Preferred Stock	0	0	0
REIT	7	0	7
BDC	5	0	5
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	3	0
8-1108.02(2) Electronic	97	0
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)	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	11	0
Total Exemptions Received as of August 2023	121	0

Loan Broker Act

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

Total Loan Brokers Registered as of August 2023

18

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 2023	6

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of August 2023	22



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Broker-Dealers and Broker-Dealer Agents

Broker-Dealers

Activity	FINRA	NON-FINRA	Total
Approved	6	0	6
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	8	0	8
Gain (+) /Loss (-) BD's between July & August	-2	0	-2
Total BD's Registered as of August 2023	1,346	30	1,376

Broker-Dealer Agents

Activity	FINRA	NON-FINRA	Total
Approved	3,342	0	3,342
Denied	0	0	0
Terminations	2,373	0	2,373
Gain (+) /Loss (-) BDA's between July & August	969	0	969
Total BDA's Registered as of August 2023	144,495	88	144,583

Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	5	20	25
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	0	4	4
Gain (+) /Loss (-) IA's between July & August	5	16	21
Total IA's Registered as of August 2023	120	1,957	2,077

Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	3	142	145
Denied	0	0	0
Terminated	0	70	70
Gain (+) /Loss (-) IAR's between July & August	3	72	75
Total IAR's Registered as of August 2023	172	4,645	4,817