



DEPARTMENT OF BANKING AND FINANCE

Bureau of Securities Monthly Report

August 2025

Securities Registrations

Table with 4 columns: Filing/Security Type, Manual, Electronic, Total. Rows include New Mutual Fund Notice Filings, New UIT Notice Filings, Renewal Filings, Additions, Oversales, Common Stock, Limited Partnerships, Preferred Stock, REIT, BDC, Debt, Qualification, Other, Denials, Sales of Unregistered Securities, and Withdrawals.

Exemptions

Table with 3 columns: Exemption Type, Filings, Withdrawals. Rows list various exemption codes (8-1108.02(2) Paper, 8-1108.02(2) Electronic, 8-1110(5)(b), 8-1110(8), 8-1111(9), 8-1111(11)(a) and (b), 8-1111(14), 8-1111(15), 8-1111(16), 8-1111(20), 8-1111(21), 8-1111(23), Reg A tier 2) and a Total Exemptions Received as of August 2025 row.

Loan Broker Act

Table with 2 columns: Activity, Total. Rows include New Loan Broker filing, Loan Broker amendment filing, and Loan Broker renewal filing.

Total Loan Brokers Registered as of August 2025

16

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 2025	6

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of August 2025	17



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Broker-Dealers and Broker-Dealer Agents

Broker-Dealers

Activity	FINRA	NON-FINRA	Total
Approved	2	28	30
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	4	0	4
Gain (+) /Loss (-) BD's between July & August	-2	0	-2
Total BD's Registered as of August 2025	1,287	28	1,315

Broker-Dealer Agents

Activity	FINRA	NON-FINRA	Total
Approved	3,800	0	3,800
Denied	0	0	0
Terminations	1,911	2	1,913
Gain (+) /Loss (-) BDA's between July & August	1,889	-2	1,887
Total BDA's Registered as of August 2025	152,848	65	152,913

Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	1	14	15
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	2	6	8
Gain (+) /Loss (-) IA's between July & August	-1	8	7
Total IA's Registered as of August 2025	120	2,097	2,217

Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	99	0	99
Denied	0	0	0
Terminated	103	4	107
Gain (+) /Loss (-) IAR's between July & August	-4	-4	-8
Total IAR's Registered as of August 2025	176	4,869	5,045