



**DEPARTMENT OF BANKING
AND FINANCE**

**Bureau of Securities
Monthly Report**

December 2022

Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	7	63	70
New UIT Notice Filings	99	0	99
Renewal Filings	16	2060	2076
Additions	6	404	410
Oversales	0	66	66
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	4	0	4
BDC	6	0	6
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	110	0
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	8	0
8-1111(11)(a) and (b)	0	0
8-1111(14)	0	0
8-1111(15)	2	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	29	0
Total Exemptions Received as of December 2022	149	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 December 2022

19

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 December 2022	6

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of December 2022	15



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Broker-Dealers and Broker-Dealer Agents

Broker-Dealers

Activity	FINRA	NON-FINRA	Total
Approved	1	0	1
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	14	0	14
Gain (+) /Loss (-) BD's between November & Decem	-13	0	-13
Total BD's Registered as of December 2022	1,323	29	1,352

Broker-Dealer Agents

Activity	FINRA	NON-FINRA	Total
Approved	1,792	0	1,792
Denied		0	0
Terminations	6,266	0	6,266
Gain (+) /Loss (-) BDA's between November & Decem	-4,474	0	-4,474
Total BDA's Registered as of December 2022	133,154	87	133,241

Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	0	17	17
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	5	68	73
Gain (+) /Loss (-) IA's between November & Decem	-5	-51	-56
Total IA's Registered as of December 2022	100	1,824	1,924

Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	1	14	15
Denied	0	0	0
Terminated	6	150	156
Gain (+) /Loss (-) IAR's between November & Decem	-5	-136	-141
Total IAR's Registered as of December 2022	159	4,568	4,727