



**DEPARTMENT OF BANKING
AND FINANCE**

**Bureau of Securities
Monthly Report**

December 2023

Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	0	36	36
New UIT Notice Filings	87	0	87
Renewal Filings	23	1902	1925
Additions	10	348	358
Oversales	18	37	55
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	4	0	4
BDC	3	0	3
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	1	0
8-1108.02(2) Electronic	97	3
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	3	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	2	0
Total Exemptions Received as of December 2023	103	3

Loan Broker Act

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

Total Loan Brokers Registered as of December 2023

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 2023	6

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of December 2023	14



DEPARTMENT OF BANKING
AND FINANCE

Bureau of Securities Monthly Report

December 2023

Page 2

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Registrations Terminated/Withdrawn	15	0	15
Gain (+) /Loss (-) BD's between November & Decem	-13	0	-13
Total BD's Registered as of December 2023	1,308	29	1,337

Broker-Dealer Agents

Activity	FINRA	NON-FINRA	Total
Approved	1,409	0	1,409
Denied		0	0
Terminations	7,637	0	7,637
Gain (+) /Loss (-) BDA's between November & Decem	-6,228	0	-6,228
Total BDA's Registered as of December 2023	139,599	87	139,686

Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	3	10	13
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	6	111	117
Gain (+) /Loss (-) IA's between November & Decem	-3	-101	-104
Total IA's Registered as of December 2023	116	1,876	1,992

Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	3	45	48
Denied	0	0	0
Terminated	6	160	166
Gain (+) /Loss (-) IAR's between November & Decem	-3	-115	-118
Total IAR's Registered as of December 2023	168	4,584	4,752