



**DEPARTMENT OF BANKING
AND FINANCE**

**Bureau of Securities
Monthly Report**

December 2024

Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	0	33	33
New UIT Notice Filings	103	8	111
Renewal Filings	34	1763	1797
Additions	7	465	472
Oversales	19	57	76
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	11	0	11
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	0	0
8-1108.02(2) Electronic	1	0
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	6	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 December 2024	7	0

Loan Broker Act

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

Total Loan Brokers Registered as of December 2024

17

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 2024	6

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of December 2024	6



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Broker-Dealers and Broker-Dealer Agents

Broker-Dealers

Activity	FINRA	NON-FINRA	Total
Approved	0	0	0
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	34	0	34
Gain (+) /Loss (-) BD's between November & Decem	-34	0	-34
Total BD's Registered as of December 2024	1,269	28	1,297

Broker-Dealer Agents

Activity	FINRA	NON-FINRA	Total
Approved	1,679	0	1,679
Denied		0	0
Terminations	5,914	0	5,914
Gain (+) /Loss (-) BDA's between November & Decem	-4,235	0	-4,235
Total BDA's Registered as of December 2024	143,831	69	143,900

Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	4	9	13
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	2	94	96
Gain (+) /Loss (-) IA's between November & Decem	2	-85	-83
Total IA's Registered as of December 2024	130	1,962	2,092

Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	5	45	50
Denied	0	0	0
Terminated	13	381	394
Gain (+) /Loss (-) IAR's between November & Decem	-8	-336	-344
Total IAR's Registered as of December 2024	180	4,601	4,781