



DEPARTMENT OF BANKING AND FINANCE

Bureau of Securities Monthly Report

February 2023

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 4 columns: Exemption Type, Filings, Withdrawals. Rows include 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 Total Exemptions Received as of February 2023.

Loan Broker Act

Table with 3 columns: Activity, Total. Rows include New Loan Broker filing, Loan Broker amendment filing, and Loan Broker renewal filing.

Total Loan Brokers Registered as of February 2023

21

### SAMP Act

#### Business Opportunities

Activity	Total
New Business Opportunity filing	0
Business Opportunity amendment filing	0
Business Opportunity renewal filing	0
<b>Total filings as of February 2023</b>	<b>6</b>

#### Franchise Exemption

Activity	Total
<b>Franchise Exemption filings Received as of February 2023</b>	<b>16</b>



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### Broker-Dealers and Broker-Dealer Agents

#### Broker-Dealers

Activity	FINRA	NON-FINRA	Total
Approved	5	0	5
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	4	0	4
Gain (+) /Loss (-) BD's between January & February	1	0	1
<b>Total BD's Registered as of February 2023</b>	<b>1,327</b>	<b>29</b>	<b>1,356</b>

#### Broker-Dealer Agents

Activity	FINRA	NON-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	2531	0	2,531
Denied		0	0
Terminations	1,312	0	1,312
Gain (+) /Loss (-) BDA's between January & February	1,219	0	1,219
<b>Total BDA's Registered as of February 2023</b>	<b>138,599</b>	<b>87</b>	<b>138,686</b>

### Investment Advisers and Representatives

#### Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	2	15	17
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	1	9	10
Gain (+) /Loss (-) IA's between January & February	1	6	7
<b>Total IA's Registered as of February 2023</b>	<b>106</b>	<b>1,847</b>	<b>1,953</b>

## Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	1	69	70
Denied	0	0	0
Terminated	1	33	34
Gain (+) /Loss (-) IAR's between January & February	0	36	36
<b>Total IAR's Registered as of February 2023</b>	<b>160</b>	<b>4,688</b>	<b>4,848</b>