



**DEPARTMENT OF BANKING
AND FINANCE**

**Bureau of Securities
Monthly Report**

February 2024

Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	9	15	24
New UIT Notice Filings	100	0	100
Renewal Filings	38	1897	1935
Additions	15	346	361
Oversales	30	35	65
Common Stock	0	0	0
Limited Partnerships	4	0	4
Preferred Stock	0	0	0
REIT	11	0	11
BDC	8	0	8
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	69	12
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	0	0
Total Exemptions Received as of February 2024	72	12

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 February 2024

20

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 February 2024	6

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of February 2024	19



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Broker-Dealers and Broker-Dealer Agents

Broker-Dealers

Activity	FINRA	NON-FINRA	Total
Approved	6	0	6
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	3	0	3
Gain (+) /Loss (-) BD's between January & February	3	0	3
Total BD's Registered as of February 2024	1,307	26	1,333

Broker-Dealer Agents

Activity	FINRA	NON-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	2013	0	2,013
Denied		0	0
Terminations	3,651	0	3,651
Gain (+) /Loss (-) BDA's between January & February	5,664	0	5,664
Total BDA's Registered as of February 2024	143,044	57	143,101

Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	0	28	28
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	0	11	11
Gain (+) /Loss (-) IA's between January & February	0	17	17
Total IA's Registered as of February 2024	116	1,919	2,035

Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	6	66	72
Denied	0	0	0
Terminated	12	22	34
Gain (+) /Loss (-) IAR's between January & February	18	88	106
Total IAR's Registered as of February 2024	178	4,686	4,864