



**DEPARTMENT OF BANKING
AND FINANCE**

**Bureau of Securities
Monthly Report**

February 2025

Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	4	16	20
New UIT Notice Filings	82	10	92
Renewal Filings	17	1842	1859
Additions	15	350	365
Oversales	24	71	95
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	0	0
8-1108.02(2) Electronic	40	0
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	9	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 2025	49	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 February 2025

18

SAMP Act

Business Opportunities

Activity	Total
New Business Opportunity filing	0
Business Opportunity amendment filing	0
Business Opportunity renewal filing	2
Total filings as of February 2025	6

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of February 2025	16



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Broker-Dealers and Broker-Dealer Agents

Broker-Dealers

Activity	FINRA	NON-FINRA	Total
Approved	7	0	7
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	5	0	5
Gain (+) /Loss (-) BD's between January & February	2	0	2
Total BD's Registered as of February 2025	1,282	28	1,310

Broker-Dealer Agents

Activity	FINRA	NON-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	2192	57	2,249
Denied		0	0
Terminations	1,260	57	1,317
Gain (+) /Loss (-) BDA's between January & February	932	0	932
Total BDA's Registered as of February 2025	147,754	62	147,816

Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	1	23	24
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	0	3	3
Gain (+) /Loss (-) IA's between January & February	1	20	21
Total IA's Registered as of February 2025	123	2,000	2,123

Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	4	93	97
Denied	0	0	0
Terminated	0	24	24
Gain (+) /Loss (-) IAR's between January & February	4	117	121
Total IAR's Registered as of February 2025	185	4,733	4,918