



**DEPARTMENT OF BANKING
AND FINANCE**

**Bureau of Securities
Monthly Report**

July 2023

Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	9	13	22
New UIT Notice Filings	126	16	142
Renewal Filings	61	1787	1848
Additions	17	206	223
Oversales	22	28	50
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	13	0	13
BDC	9	0	9
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	1	1

Exemptions

Exemption Type	Filings	Withdrawals
8-1108.02(2) Paper	0	0
8-1108.02(2) Electronic	8	0
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	0	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	14	0
Total Exemptions Received as of July 2023	22	0

Loan Broker Act

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

Total Loan Brokers Registered as of July 2023

18

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 July 2023	6

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of July 2023	17



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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Registrations Terminated/Withdrawn	4	0	4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 June & July 2021	1	0	1
Total BD's Registered as of July 2023	1,348	30	1,378

Broker-Dealer Agents

Activity	FINRA	NON-FINRA	Total
Approved	2,268	0	2,268
Denied	0	0	0
Terminations	1,751	0	1,751
Gain (+) /Loss (-) BDA's between June & July 2021	517	0	517
Total BDA's Registered as of July 2023	143,526	88	143,614

Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	4	8	12
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	1	4	5
Gain (+) /Loss (-) IA's between June & July 2021	3	4	7
Total IA's Registered as of July 2023	115	1,941	2,056

Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	7	87	94
Denied	0	0	0
Terminated	1	128	129
Gain (+) /Loss (-) IAR's between June & July 2021	6	-41	-35
Total IAR's Registered as of July 2023	169	4,573	4,742