



**DEPARTMENT OF BANKING  
AND FINANCE**

**Bureau of Securities  
Monthly Report**

July 2024

**Securities Registrations**

<b>Filing/Security Type</b>	<b>Manual</b>	<b>Electronic</b>	<b>Total</b>
New Mutual Fund Notice Filings	0	12	12
New UIT Notice Filings	143	0	143
Renewal Filings	50	1797	1847
Additions	8	314	322
Oversales	15	47	62
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	4	0	4
BDC	0	0	0
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**

<b>Exemption Type</b>	<b>Filings</b>	<b>Withdrawals</b>
8-1108.02(2) Paper	3	0
8-1108.02(2) Electronic	39	21
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	7	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
<b>Total Exemptions Received as of July 2024</b>	<b>63</b>	<b>21</b>

**Loan Broker Act**

<b>Activity</b>	<b>Total</b>
New Loan Broker filing	0
Loan Broker amendment filing	0
Loan Broker renewal filing	1

Total Loan Brokers Registered as of July 2024

14

### 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 July 2024</b>	<b>6</b>

#### Franchise Exemption

Activity	Total
<b>Franchise Exemption filings Received as of July 2024</b>	<b>19</b>



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## Bureau of Securities Monthly Report

July 2023

Page 2

### Broker-Dealers and Broker-Dealer Agents

#### Broker-Dealers

Activity	FINRA	NON-FINRA	Total
Approved	5	1	6
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	33	0	33
Gain (+) /Loss (-) BD's between June & July 2021	38	1	39
<b>Total BD's Registered as of July 2024</b>	<b>1,348</b>	<b>28</b>	<b>1,376</b>

#### Broker-Dealer Agents

Activity	FINRA	NON-FINRA	Total
Approved	2,268	0	2,268
Denied	0	0	0
Terminations	2,856	4	2,860
Gain (+) /Loss (-) BDA's between June & July 2021	-588	4	-584
<b>Total BDA's Registered as of July 2024</b>	<b>143,526</b>	<b>67</b>	<b>143,593</b>

### 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Registrations Terminated/Withdrawn	13	71	84
Gain (+) /Loss (-) IA's between June & July 2021	-9	-63	-72
<b>Total IA's Registered as of July 2024</b>	<b>115</b>	<b>1,941</b>	<b>2,056</b>

## Investment Adviser Representatives

<b>Activity</b>	<b>Registered</b>	<b>Notice Filed</b>	<b>Total</b>
Approved	7	87	94
Denied	0	0	0
Terminated	18	225	243
Gain (+) /Loss (-) IAR's between June & July 2021	-11	-138	-149
<b>Total IAR's Registered as of July 2024</b>	<b>169</b>	<b>4,573</b>	<b>4,742</b>