



**DEPARTMENT OF BANKING  
AND FINANCE**

**Bureau of Securities  
Monthly Report**

June 2023

**Securities Registrations**

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	5	56	61
New UIT Notice Filings	71	0	71
Renewal Filings	22	2143	2165
Additions	8	233	241
Oversales	9	31	40
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	10	0	10
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**

Exemption Type	Filings	Withdrawals
8-1108.02(2) Paper	0	0
8-1108.02(2) Electronic	24	1
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	4	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	21	0
<b>Total Exemptions Received as of June 2023</b>	<b>49</b>	<b>1</b>

**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 June 2023

21

### SAMP Act

#### Business Opportunities

Activity	Total
New Business Opportunity filing	1
Business Opportunity amendment filing	0
Business Opportunity renewal filing	0
<b>Total filings as of June 2023</b>	<b>7</b>

#### Franchise Exemption

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



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June 2023

Page 2

### 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Registrations Terminated/Withdrawn	8	0	8
Gain (+) /Loss (-) BD's between May & June	-1	0	-1
<b>Total BD's Registered as of June 2023</b>	<b>1,347</b>	<b>30</b>	<b>1,377</b>

#### Broker-Dealer Agents

Activity	FINRA	NON-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	2633	0	2,633
Denied		0	0
Terminations	1,726	0	1,726
Gain (+) /Loss (-) BDA's between May & June	907	0	907
<b>Total BDA's Registered as of June 2023</b>	<b>143,009</b>	<b>88</b>	<b>143,097</b>

### Investment Advisers and Representatives

#### Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	1	12	13
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	0	2	2
Gain (+) /Loss (-) IA's between May & June	1	10	11
<b>Total IA's Registered as of June 2023</b>	<b>112</b>	<b>1,937</b>	<b>2,049</b>

## Investment Adviser Representatives

<b>Activity</b>	<b>Registered</b>	<b>Notice Filed</b>	<b>Total</b>
Approved	2	108	110
Denied	0	0	0
Terminated	2	119	121
Gain (+) /Loss (-) IAR's between May & June	0	-11	-11
<b>Total IAR's Registered as of June 2023</b>	<b>163</b>	<b>4,614</b>	<b>4,777</b>