



**DEPARTMENT OF BANKING  
AND FINANCE**

**Bureau of Securities  
Monthly Report**

June 2024

**Securities Registrations**

<b>Filing/Security Type</b>	<b>Manual</b>	<b>Electronic</b>	<b>Total</b>
New Mutual Fund Notice Filings	0	49	49
New UIT Notice Filings	96	0	96
Renewal Filings	32	1659	1691
Additions	9	280	289
Oversales	10	38	48
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	0	0
8-1108.02(2) Electronic	4	0
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
<b>Total Exemptions Received as of June 2024</b>	<b>7</b>	<b>0</b>

**Loan Broker Act**

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

Total Loan Brokers Registered as of June 2024

16

### 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 June 2024</b>	<b>6</b>

### Franchise Exemption

Activity	Total
<b>Franchise Exemption filings Received as of June 2024</b>	<b>13</b>



DEPARTMENT OF BANKING  
AND FINANCE

## Bureau of Securities Monthly Report

June 2024

Page 2

### Broker-Dealers and Broker-Dealer Agents

#### Broker-Dealers

Activity	FINRA	NON-FINRA	Total
Approved	6	1	7
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	7	0	7
Gain (+) /Loss (-) BD's between May & June	-1	0	-1
<b>Total BD's Registered as of June 2024</b>	<b>1,310</b>	<b>27</b>	<b>1,337</b>

#### Broker-Dealer Agents

Activity	FINRA	NON-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	2558	0	2,558
Denied		0	0
Terminations	2,001	0	2,001
Gain (+) /Loss (-) BDA's between May & June	557	0	557
<b>Total BDA's Registered as of June 2024</b>	<b>144,114</b>	<b>63</b>	<b>144,177</b>

### Investment Advisers and Representatives

#### Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	5	9	14
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	0	1	1
Gain (+) /Loss (-) IA's between May & June	5	8	13
<b>Total IA's Registered as of June 2024</b>	<b>124</b>	<b>2,004</b>	<b>2,128</b>

## Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	6	237	243
Denied	0	0	0
Terminated	3	203	206
Gain (+) /Loss (-) IAR's between May & June	3	34	37
<b>Total IAR's Registered as of June 2024</b>	<b>180</b>	<b>4,711</b>	<b>4,891</b>