



**DEPARTMENT OF BANKING
AND FINANCE**

**Bureau of Securities
Monthly Report**

June 2025

Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	10	71	81
New UIT Notice Filings	107	69	176
Renewal Filings	47	1635	1682
Additions	9	230	239
Oversales	25	41	66
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	1	0	1
BDC	2	0	2
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	35	0
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	2	0
8-1111(11)(a) and (b)	0	0
8-1111(14)	0	0
8-1111(15)	1	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	2	0
Total Exemptions Received as of June 2025	40	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 June 2025

16

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 June 2025	6

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of June 2025	20



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Broker-Dealers and Broker-Dealer Agents

Broker-Dealers

Activity	FINRA	NON-FINRA	Total
Approved	10	0	10
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	5	0	5
Gain (+) /Loss (-) BD's between May & June	5	0	5
Total BD's Registered as of June 2025	1,288	28	1,316

Broker-Dealer Agents

Activity	FINRA	NON-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	2592	56	2,648
Denied		0	0
Terminations	1,739	0	1,739
Gain (+) /Loss (-) BDA's between May & June	853	0	853
Total BDA's Registered as of June 2025	150,291	65	150,356

Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	0	15	15
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	1	4	5
Gain (+) /Loss (-) IA's between May & June	-1	11	10
Total IA's Registered as of June 2025	122	2,086	2,208

Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	0	100	100
Denied	0	0	0
Terminated	3	12	15
Gain (+) /Loss (-) IAR's between May & June	-3	88	85
Total IAR's Registered as of June 2025	180	4,839	5,019