

Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	0	53	53
New UIT Notice Filings	144	0	144
Renewal Filings	39	1969	2008
Increases	9	235	244
Oversales	15	20	35
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	2	0	2
BDC	6	0	6
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	47	0
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	16	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	1	0
Total Exemptions Received as of October 2023	64	0

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 October 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 October 2023	6

Franchise Exemption



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Broker-Dealers and Broker-Dealer Agents

Broker-Dealers

Activity	FINRA	NON-FINRA	Total
Approved	3	0	3
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	12	1	13
Gain (+) /Loss (-) BD's between September & October	-9	-1	-10
Total BD's Registered as of October 2023	1,333	29	1,362

Broker-Dealer Agents

Activity	FINRA	NON-FINRA	Total
Approved	2583	0	2,583
Denied	0	0	0
Terminations	1,652	1	1,653
Gain (+) /Loss (-) BDA's between September & October	931	-1	930
Total BDA's Registered as of October 2023	145,380	87	145,467

Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	1	7	8
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	0	49	49
Gain (+) /Loss (-) IA's between September & October	1	-42	-41
Total IA's Registered as of October 2023	121	1,924	2,045

Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	2	53	55
Denied	0	0	0
Terminated	1	29	30
Gain (+) /Loss (-) IAR's between September & October	1	24	25
Total IAR's Registered as of October 2023	173	4,683	4,856