

**Securities Registrations**

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	32	28	60
New UIT Notice Filings	106	1720	1826
Renewal Filings	0	1651	1651
Increases	277	260	537
Oversales	83	49	132
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	4	0	4
BDC	3	0	3
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	0	0
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	0	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 October 2025</b>	<b>0</b>	<b>0</b>

**Loan Broker Act**

Activity	Total
New Loan Broker filing	0
Loan Broker amendment filing	1
Loan Broker renewal filing	1
<b>Total Loan Brokers Registered as of October 2025</b>	<b>17</b>

**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 October 2025</b>	<b>6</b>

**Franchise Exemption**



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**Broker-Dealers and Broker-Dealer Agents**

**Broker-Dealers**

Activity	FINRA	NON-FINRA	Total
Approved	6	0	6
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	5	0	5
Gain (+) /Loss (-) BD's between September & October	1	0	1
<b>Total BD's Registered as of October 2025</b>	<b>1,289</b>	<b>28</b>	<b>1,317</b>

**Broker-Dealer Agents**

Activity	FINRA	NON-FINRA	Total
Approved	2849	0	2,849
Denied	0	0	0
Terminations	1,937	0	1,937
Gain (+) /Loss (-) BDA's between September & October	912	0	912
<b>Total BDA's Registered as of October 2025</b>	<b>155,571</b>	<b>65</b>	<b>155,636</b>

**Investment Advisers and Representatives**

**Investment Advisers**

Activity	Registered	Notice Filed	Total
Approved	1	21	22
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	2	8	10
Gain (+) /Loss (-) IA's between September & October	-1	13	12
<b>Total IA's Registered as of October 2025</b>	<b>119</b>	<b>2,113</b>	<b>2,232</b>

**Investment Adviser Representatives**

Activity	Registered	Notice Filed	Total
Approved	10	89	99
Denied	0	0	0
Terminated	11	41	52
Gain (+) /Loss (-) IAR's between September & October	-1	48	47
<b>Total IAR's Registered as of October 2025</b>	<b>174</b>	<b>5,016</b>	<b>5,190</b>