



DEPARTMENT OF BANKING
AND FINANCE

Bureau of Securities
Monthly Report
March 2020

Securities Registrations

Filing/Security Type	Paper	Electronic	Total
New Mutual Fund Notice Filings	6	74	80
New UIT Notice Filings	92	21	113
Renewal Filings	38	2216	2254
Additions	15	543	558
Oversales	2	635	637
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

Exemption Type	Filings	Withdrawals
8-1108.02(2) Paper	3	0
8-1108.02(2) Electronic	41	5
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	9	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	7	0
Total Exemptions Received as of March 2020	60	5

Loan Broker Act

Activity	Total
New Loan Broker filing	-
Loan Broker amendment filing	-
Loan Broker renewal filing	0
Total Loan Brokers Registered as of March 2020	10

SAMP Act

Business Opportunities

Activity	Total
New Business Opportunity filing	-
Business Opportunity amendment filing	-
Business Opportunity renewal filing	-
Total filings as of March 2020	4

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of March 2020	12

Broker-Dealers and Broker-Dealer Agents

Broker-Dealers			
Activity	FINRA	NON-FINRA	Total
Approved	9	0	9
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	6	0	6
Gain (+) /Loss (-) BD's between February & March	3	0	3
Total BD's Registered as of March 2020	1,292	28	1,320

Broker-Dealer Agents			
Activity	FINRA	NON-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	1912	1	1,913
Denied		0	0
Terminations	1,199	1	1,200
Gain (+) /Loss (-) BDA's between February & March	713	2	715
Total BDA's Registered as of March 2020	110,882	86	110,968

Investment Advisers and Representatives

Investment Advisers			
Activity	Registered	Notice Filed	Total
Approved	2	44	46
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	0	4	4
Gain (+) /Loss (-) IA's between February & March	2	40	42
Total IA's Registered as of March 2020	97	1,523	1,620

Investment Adviser Representatives			
Activity	Registered	Notice Filed	Total
Approved	2	41	43
Denied	0	0	0
Terminated	77	46	123
Gain (+) /Loss (-) IAR's between February & March	79	-5	74
Total IAR's Registered as of March 2020	240	4,300	4,540