



DEPARTMENT OF BANKING
AND FINANCE

Bureau of Securities
Monthly Report
March 2022

Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	9	46	55
New UIT Notice Filings	104	0	104
Renewal Filings	40	1773	1813
Additions	15	426	441
Oversales	1	58	59
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	5	0	5
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	96	5
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	7	0
8-1111(11)(a) and (b)	0	0
8-1111(14)	0	0
8-1111(15)	2	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	8	0
Total Exemptions Received as of March 2022	113	5

Loan Broker Act

Activity	Total
New Loan Broker filing	0
Loan Broker amendment filing	0
Loan Broker renewal filing	2
Total Loan Brokers Registered as of March 2022	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 March 2022	5

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of March 2022	23

Broker-Dealers and Broker-Dealer Agents

Broker-Dealers			
Activity	FINRA	NON-FINRA	Total
Approved	7	0	7
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	0	0	0
Gain (+) /Loss (-) BD's between February & March	7	0	7
Total BD's Registered as of March 2022	1,308	29	1,337

Broker-Dealer Agents			
Activity	FINRA	NON-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	3179	0	3,179
Denied		0	0
Terminations	1,791	0	1,791
Gain (+) /Loss (-) BDA's between February & March	1,388	0	1,388
Total BDA's Registered as of March 2022	127,035	87	127,122

Investment Advisers and Representatives

Investment Advisers			
Activity	Registered	Notice Filed	Total
Approved	2	80	82
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	1	11	12
Gain (+) /Loss (-) IA's between February & March	1	91	92
Total IA's Registered as of March 2022	101	1,808	1,909

Investment Adviser Representatives			
Activity	Registered	Notice Filed	Total
Approved	4	101	105
Denied	0	0	0
Terminated	3	63	66
Gain (+) /Loss (-) IAR's between February & March	1	38	39
Total IAR's Registered as of March 2022	160	4,473	4,633