



**DEPARTMENT OF BANKING
AND FINANCE**

Bureau of Securities
Monthly Report
December 2022

Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	7	58	65
New UIT Notice Filings	98	0	98
Renewal Filings	16	2060	2076
Additions	5	404	409
Oversales	1	66	67
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	4	0	4
BDC	6	0	6
Debt	0	0	0
Qualification	0	0	0
Other	2	0	2
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	110	0
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	8	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	30	0
Total Exemptions Received as of December 2022	150	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 December 2022	19

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 December 2022	6

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of December 2022	15



Bureau of Security Monthly Report

December 2022

Page 2

Broker-Dealers and Broker-Dealer Agents

Broker-Dealers

Activity	FINRA	NON-FINRA
Approved	1	0
Applications Abandoned	0	0
Applications Denied	0	0
Registrations Terminated/Withdrawn	14	0
Gain (+) /Loss (-) BD's between November & Decem	-13	0
Total BD's Registered as of December 2022	1,323	29

Broker-Dealer Agents

Activity	FINRA	NON-FINRA
Approved	1,792	0
Denied		0
Terminations	6,266	0
Gain (+) /Loss (-) BDA's between November & Decem	-4,474	0
Total BDA's Registered as of December 2022	133,154	87

Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed
Approved	0	17
Applications Abandoned	0	0

Applications Denied	0	0
Registrations Terminated/Withdrawn	5	68
Gain (+) /Loss (-) IA's between November & Decem	-5	-51
Total IA's Registered as of December 2022	100	1,824

Investment Adviser Representatives

Activity	Registered	Notice Filed
Approved	1	14
Denied	0	0
Terminated	6	150
Gain (+) /Loss (-) IAR's between November & Decem	-5	-136
Total IAR's Registered as of December 2022	159	4,568

ties





ties



Total

1

0

0

14

-13

1,352



Total

1,792

0

6,266

-4,474

133,241



Total

17

0

0
73
-56
1,924



Total
15
0
156
-141
4,727

