



DEPARTMENT OF BANKING
AND FINANCE

Bureau of Securities
Monthly Report
June 2022

Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	0	52	52
New UIT Notice Filings	73	0	73
Renewal Filings	27	1834	1861
Additions	4	319	323
Oversales	0	70	70
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	2	0
8-1108.02(2) Electronic	112	0
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)	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	16	0
Total Exemptions Received as of June 2022	137	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 June 2022	17

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 June 2022	6

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of June 2022	29

Broker-Dealers and Broker-Dealer Agents

Broker-Dealers			
Activity	FINRA	NON-FINRA	Total
Approved	5	0	5
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	0	0	0
Gain (+) /Loss (-) BD's between May & June	5	0	5
Total BD's Registered as of June 2022	1,325	30	1,355

Broker-Dealer Agents			
Activity	FINRA	NON-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	2873	0	2,873
Denied		0	0
Terminations	1,805	0	1,805
Gain (+) /Loss (-) BDA's between May & June	1,068	0	1,068
Total BDA's Registered as of June 2022	129,853	88	129,941

Investment Advisers and Representatives

Investment Advisers			
Activity	Registered	Notice Filed	Total
Approved	0	15	15
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	0	0	0
Gain (+) /Loss (-) IA's between May & June	0	15	15
Total IA's Registered as of June 2022	102	1,825	1,927

Investment Adviser Representatives			
Activity	Registered	Notice Filed	Total
Approved	1	82	83
Denied	0	0	0
Terminated	1	56	57
Gain (+) /Loss (-) IAR's between May & June	0	26	26
Total IAR's Registered as of June 2022	161	4,574	4,735