



DEPARTMENT OF BANKING  
AND FINANCE

Bureau of Securities  
Monthly Report  
February 2020

### Securities Registrations

Filing/Security Type	Paper	Electronic	Total
New Mutual Fund Notice Filings	0	79	79
New UIT Notice Filings	87	15	102
Renewal Filings	32	1867	1899
Additions	5	417	422
Oversales	1	93	94
Common Stock	2	0	2
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	0	0	0
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	26	16
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	8	2
8-1111(11)(a) and (b)	0	0
8-1111(14)	0	0
8-1111(15)	1	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	5	0
<b>Total Exemptions Received as of February 2020</b>	<b>42</b>	<b>18</b>

### Loan Broker Act

Activity	Total
New Loan Broker filing	-
Loan Broker amendment filing	-
Loan Broker renewal filing	-
<b>Total Loan Brokers Registered as of February 2020</b>	<b>10</b>

### SAMP Act

### Business Opportunities

Activity	Total
New Business Opportunity filing	-
Business Opportunity amendment filing	1
Business Opportunity renewal filing	1
<b>Total filings as of February 2020</b>	<b>4</b>

### Franchise Exemption

Activity	Total
<b>Franchise Exemption filings Received as of February 2020</b>	<b>18</b>

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

<b>Broker-Dealers</b>			
<b>Activity</b>	<b>FINRA</b>	<b>NON-FINRA</b>	<b>Total</b>
Approved	10	0	10
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	1	0	1
Gain (+) /Loss (-) BD's between January & February	9	0	9
<b>Total BD's Registered as of February 2020</b>	<b>1,289</b>	<b>28</b>	<b>1,317</b>

<b>Broker-Dealer Agents</b>			
<b>Activity</b>	<b>FINRA</b>	<b>NON-FINRA</b>	<b>Total</b>
Approved (Includes Automatic, Manual, Temp. Queues)	1675	0	1,675
Denied		0	0
Terminations	1,069	6	1,075
Gain (+) /Loss (-) BDA's between January & February	606	6	612
<b>Total BDA's Registered as of February 2020</b>	<b>110,169</b>	<b>84</b>	<b>110,253</b>

**Investment Advisers and Representatives**

<b>Investment Advisers</b>			
<b>Activity</b>	<b>Registered</b>	<b>Notice Filed</b>	<b>Total</b>
Approved	1	18	19
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	0	2	2
Gain (+) /Loss (-) IA's between January & February	1	16	17
<b>Total IA's Registered as of February 2020</b>	<b>95</b>	<b>1,483</b>	<b>1,578</b>

<b>Investment Adviser Representatives</b>			
<b>Activity</b>	<b>Registered</b>	<b>Notice Filed</b>	<b>Total</b>
Approved	1	95	96
Denied	0	0	0
Terminated	0	59	59
Gain (+) /Loss (-) IAR's between January & February	1	36	37
<b>Total IAR's Registered as of February 2020</b>	<b>161</b>	<b>4,305</b>	<b>4,466</b>