



DEPARTMENT OF BANKING
AND FINANCE

Bureau of Securities
Monthly Report
October 2019

Securities Registrations

Filing/Security Type	Paper	Electronic	Total
New Mutual Fund Notice Filings	6	160	166
New UIT Notice Filings	128	19	147
Renewal Filings	54	1818	1872
Additions	4	297	301
Oversales	0	70	70
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	0	0	0
BDC	1	0	1
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	28	7
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)	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	3	0
Total Exemptions Received as of October 2019	44	7

Loan Broker Act

Activity	Total
New Loan Broker filing	-
Loan Broker amendment filing	-
Loan Broker renewal filing	1
Total Loan Brokers Registered as of October 2019	11

SAMP Act

Business Opportunities

Activity	Total
New Business Opportunity filing	-
Business Opportunity amendment filing	-
Business Opportunity renewal filing	1
Total filings as of October 2019	4

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of October 2019	21

Broker-Dealers and Broker-Dealer Agents

Broker-Dealers			
Activity	FINRA	NON-FINRA	Total
Approved	8	0	8
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	10	0	10
Gain (+) /Loss (-) BD's between September & October	-2	0	-2
Total BD's Registered as of October 2019	1,316	27	1,343

Broker-Dealer Agents			
Activity	FINRA	NON-FINRA	Total
Approved	2158	0	2,158
Denied	0	0	0
Terminations	1,513	0	1,513
Gain (+) /Loss (-) BDA's between September & October	645	0	645
Total BDA's Registered as of October 2019	112,521	77	112,598

Investment Advisers and Representatives

Investment Advisers			
Activity	Registered	Notice Filed	Total
Approved	1	16	17
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	2	6	8
Gain (+) /Loss (-) IA's between September & October	-1	10	9
Total IA's Registered as of October 2019	99	1,480	1,579

Investment Adviser Representatives			
Activity	Registered	Notice Filed	Total
Approved	1	59	60
Denied	0	0	0
Terminated	4	47	51
Gain (+) /Loss (-) IAR's between September & October	-3	12	9
Total IAR's Registered as of October 2019	165	4,297	4,462