



DEPARTMENT OF BANKING
AND FINANCE

Bureau of Securities
Monthly Report
June 2021

Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	4	111	115
New UIT Notice Filings	102	0	102
Renewal Filings	27	2048	2075
Additions	15	343	358
Oversales	3	66	69
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	6	0	6
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	55	4
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	0	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	5	0
Total Exemptions Received as of June 2021	60	4

Loan Broker Act

Activity	Total
New Loan Broker filing	0
Loan Broker amendment filing	-
Loan Broker renewal filing	1
Total Loan Brokers Registered as of June 2021	14

SAMP Act

Business Opportunities

Activity	Total
New Business Opportunity filing	-
Business Opportunity amendment filing	0
Business Opportunity renewal filing	-
Total filings as of June 2021	3

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of June 2021	30

Broker-Dealers and Broker-Dealer Agents

Broker-Dealers			
Activity	FINRA	NON-FINRA	Total
Approved	9	0	9
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	1	0	1
Gain (+) /Loss (-) BD's between May & June	8	0	8
Total BD's Registered as of June 2021	1,292	30	1,322

Broker-Dealer Agents			
Activity	FINRA	NON-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	2801	0	2,801
Denied		0	0
Terminations	1,964	0	1,964
Gain (+) /Loss (-) BDA's between May & June	837	0	837
Total BDA's Registered as of June 2021	118,105	87	118,192

Investment Advisers and Representatives

Investment Advisers			
Activity	Registered	Notice Filed	Total
Approved	0	7	7
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	1	3	4
Gain (+) /Loss (-) IA's between May & June	-1	4	3
Total IA's Registered as of June 2021	96	1,673	1,769

Investment Adviser Representatives			
Activity	Registered	Notice Filed	Total
Approved	2	74	76
Denied	0	0	0
Terminated	6	42	48
Gain (+) /Loss (-) IAR's between May & June	-4	32	28
Total IAR's Registered as of June 2021	152	4,338	4,490