



DEPARTMENT OF BANKING
AND FINANCE

Bureau of Securities
Monthly Report
May 2021

Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	2	59	61
New UIT Notice Filings	83	0	83
Renewal Filings	44	1721	1765
Additions	14	373	387
Oversales	3	69	72
Common Stock	0	0	0
Limited Partnerships	1	0	1
Preferred Stock	0	0	0
REIT	2	0	2
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	1	0
8-1108.02(2) Electronic	66	2
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	5	0
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	3	0
Total Exemptions Received as of May 2021	76	2

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 May 2021	0

SAMP Act

Business Opportunities

Activity	Total
New Business Opportunity filing	-
Business Opportunity amendment filing	-
Business Opportunity renewal filing	1
Total filings as of May 2021	3

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of May 2021	36

Broker-Dealers and Broker-Dealer Agents

Broker-Dealers			
Activity	FINRA	NON-FINRA	Total
Approved	7	0	7
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	1	0	1
Gain (+) /Loss (-) BD's between April & May	6	0	6
Total BD's Registered as of May 2021	1,284	30	1,314

Broker-Dealer Agents			
Activity	FINRA	NON-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	2174	0	2,174
Denied		0	0
Terminations	1,705	0	1,705
Gain (+) /Loss (-) BDA's between April & May	469	0	469
Total BDA's Registered as of May 2021	117,268	87	117,355

Investment Advisers and Representatives

Investment Advisers			
Activity	Registered	Notice Filed	Total
Approved	2	17	19
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	1	3	4
Gain (+) /Loss (-) IA's between April & May	1	14	15
Total IA's Registered as of May 2021	97	1,669	1,766

Investment Adviser Representatives			
Activity	Registered	Notice Filed	Total
Approved	3	57	60
Denied	0	0	0
Terminated	6	51	57
Gain (+) /Loss (-) IAR's between April & May	-3	6	3
Total IAR's Registered as of May 2021	156	4,306	4,462