



DEPARTMENT OF BANKING AND FINANCE

Bureau of Securities
Monthly Report
October 2022

Securities Registrations

Table with 4 columns: Filing/Security Type, Manual, Electronic, Total. Rows include New Mutual Fund Notice Filings, New UIT Notice Filings, Renewal Filings, Additions, Oversales, Common Stock, Limited Partnerships, Preferred Stock, REIT, BDC, Debt, Qualification, Other, Denials, Sales of Unregistered Securities, and Withdrawals.

Exemptions

Table with 3 columns: Exemption Type, Filings, Withdrawals. Rows include 8-1108.02(2) Paper, 8-1108.02(2) Electronic, 8-1110(5)(b), 8-1110(8), 8-1111(9), 8-1111(11)(a) and (b), 8-1111(14), 8-1111(15), 8-1111(16), 8-1111(20), 8-1111(21), 8-1111(23), Reg A tier 2, and Total Exemptions Received as of October 2022.

Loan Broker Act

Table with 2 columns: Activity, Total. Row includes New Loan Broker filing.

|   |           |
|---|-----------|
| Loan Broker amendment filing                            | 0         |
| Loan Broker renewal filing                              | 0         |
| <b>Total Loan Brokers Registered as of October 2022</b> | <b>18</b> |

### SAMP Act

#### Business Opportunities

| Activity                                | Total    |
|---|----------|
| New Business Opportunity filing         | 0        |
| Business Opportunity amendment filing   | 0        |
| Business Opportunity renewal filing     | 0        |
| <b>Total filings as of October 2022</b> | <b>6</b> |

#### Franchise Exemption

| Activity   | Total     |
|--|-----------|
| <b>Franchise Exemption filings Received as of October 2022</b> | <b>25</b> |



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Page 2

### Broker-Dealers and Broker-Dealer Agents

#### Broker-Dealers

| Activity  | FINRA        | NON-FINRA |
|---|--------------|-----------|
| Approved  | 6            | 0         |
| Applications Abandoned                              | 0            | 0         |
| Applications Denied                                 | 0            | 0         |
| Registrations Terminated/Withdrawn                  | 5            | 0         |
| Gain (+) /Loss (-) BD's between September & October | 1            | 0         |
| <b>Total BD's Registered as of October 2022</b>     | <b>1,341</b> | <b>29</b> |

#### Broker-Dealer Agents

| Activity   | FINRA          | NON-FINRA |
|--|----------------|-----------|
| Approved   | 3384           | 0         |
| Denied   | 0              | 0         |
| Terminations   | 950            | 0         |
| Gain (+) /Loss (-) BDA's between September & October | 2,434          | 0         |
| <b>Total BDA's Registered as of October 2022</b>     | <b>136,404</b> | <b>87</b> |

### Investment Advisers and Representatives

#### Investment Advisers

| Activity               | Registered | Notice Filed |
|------------------------|------------|--------------|
| Approved               | 3          | 12           |
| Applications Abandoned | 0          | 0            |

|   |            |              |
|---|------------|--------------|
| Applications Denied                               | 0          | 0            |
| Registrations Terminated/Withdrawn                | 0          | 7            |
| Gain (+) /Loss (-) IA's between September & Octob | 3          | 5            |
| <b>Total IA's Registered as of October 2022</b>   | <b>105</b> | <b>1,865</b> |

### Investment Adviser Representatives

| <b>Activity</b>                                    | <b>Registered</b> | <b>Notice Filed</b> |
|--|-------------------|---------------------|
| Approved   | 5                 | 128                 |
| Denied   | 0                 | 0                   |
| Terminated   | 0                 | 133                 |
| Gain (+) /Loss (-) IAR's between September & Octob | 5                 | -5                  |
| <b>Total IAR's Registered as of October 2022</b>   | <b>164</b>        | <b>4,659</b>        |

**ties**





ties



**Total**

6

0

0

5

1

**1,370**



**Total**

3,384

0

950

2,434

**136,491**



**Total**

15

0

0  
7  
8  
**1,970**



**Total**  
133  
0  
133  
0  
**4,823**