



DEPARTMENT OF BANKING
AND FINANCE

Bureau of Securities
Monthly Report
September 2020

Securities Registrations

Filing/Security Type	Paper	Electronic	Total
New Mutual Fund Notice Filings	0	148	148
New UIT Notice Filings	74	0	74
Renewal Filings	24	2100	2124
Additions	0	293	293
Oversales	0	60	60
Common Stock	0	0	0
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	1	0	1

Exemptions

Exemption Type	Filings	Withdrawals
8-1108.02(2) Paper	0	0
8-1108.02(2) Electronic	33	3
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)	0	0
8-1111(16)	0	0
8-1111(20)	0	0
8-1111(21)	0	0
8-1111(23)	1	0
Reg A tier 2	6	0
Total Exemptions Received as of September 2020	45	3

Loan Broker Act

Activity	Total
New Loan Broker filing	0
Loan Broker amendment filing	2
Loan Broker renewal filing	2
Total Loan Brokers Registered as of September 2020	11

SAMP Act

Business Opportunities

Activity	Total
New Business Opportunity filing	-
Business Opportunity amendment filing	-
Business Opportunity renewal filing	-
Total filings as of September 2020	4

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of September 2020	13

Broker-Dealers and Broker-Dealer Agents

Broker-Dealers			
Activity	FINRA	NON-FINRA	Total
Approved	9	1	10
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	6	0	6
Gain (+) /Loss (-) BD's between August & September	3	1	4
Total BD's Registered as of September 2020	1,292	30	1,322

Broker-Dealer Agents			
Activity	FINRA	NON-FINRA	Total
Approved	2,247	0	2,247
Denied	0	0	0
Terminations	1,213	0	1,213
Gain (+) /Loss (-) BDA's between August & September	1,034	0	1,034
Total BDA's Registered as of September 2020	114,612	87	114,699

Investment Advisers and Representatives

Investment Advisers			
Activity	Registered	Notice Filed	Total
Approved	0	16	16
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	1	5	6
Gain (+) /Loss (-) IA's between August & September	-1	11	10
Total IA's Registered as of September 2020	103	1,578	1,681

Investment Adviser Representatives			
Activity	Registered	Notice Filed	Total
Approved	3	73	76
Denied	0	0	0
Terminated	1	51	52
Gain (+) /Loss (-) IAR's between August & September	2	22	24
Total IAR's Registered as of September 2020	175	4,370	4,545