

IRVING L. FAUGHT
ADMINISTRATOR



MARY FALLIN
GOVERNOR

STATE OF OKLAHOMA
DEPARTMENT OF SECURITIES

MEMORANDUM

To: Irving L. Faught, Administrator
From: Carol Gruis, Director of Examinations
Date: 8/1/2012
Re: FIRMS AND PROFESSIONALS REPORT

Attached is a report of the applications processed, as of July 31, 2012, for firms and professionals seeking to do business in Oklahoma.

Attachment

Oklahoma Department of Securities
Firms and Professionals Division
July 2012

As of
July 31, 2012

Broker-Dealers

FINRA Broker-Dealers Registered	1,544	
Non-FINRA Broker-Dealers Registered	1	
Broker-Dealers - Pending Applications	4	
Total Broker-Dealers		1,549

Investment Adviser Firms

Registered Investment Adviser Firms	155	
Registered Investment Adviser Firms - Pending Applications	8	
Total Registered and Pending IA Firms		163
Notice-Listed Investment Adviser Firms	966	
Notice-Listed Investment Adviser Firms - Pending Applications	2	
Total Notice-Listed IA Firms		968
Total Investment Adviser Firms		1,131

Investment Adviser Representatives

Registered Investment Adviser Reps.	4,578	
Registered Investment Adviser Reps.- Pending Applications	12	
Total Investment Adviser Reps.		4,590

For the Month of July 2012

Broker-Dealers initially Registered in July 2012		5
Investment Advisers initially Registered in July 2012		2
Investment Advisers initially Notice-Listed in July 2012		7
FINRA Broker-Dealer Agents Registered as of July 31, 2012		101,101
FINRA Broker-Dealer Agents Registered as of June 30, 2012		100,879
FINRA Broker-Dealer Agents Registered as of July 31, 2011		98,925
FINRA Broker-Dealer Agents accepted through the CRD in July 2012		1,600
Issuer Agents registered as of July 31, 2012		119

Broker-Dealers Initially Registered in July 2012

E D & F Man Capital Markets Inc. (CRD# 161014)
New York, NY

First Brokerage America, L.L.C. (CRD# 43431)
Clayton, MO

Regions Securities LLC (CRD# 159475)
Atlanta, GA

Silver Leaf Partners, LLC (CRD# 126694)
New York, NY

Weşcom Financial Services (CRD# 125650)
Pasadena, CA

Investment Advisers Initially Registered in July 2012

Financial Goal Planning of Oklahoma (CRD# 126301)
Edmond, OK

WSA Affiliates, LLC (CRD# 144108)
Dallas, TX

Investment Advisers Initially Making Notice Filing in July 2012

Blackrock (Singapore) Limited (CRD# 164594)
Singapore, Singapore 079912,

Calton & Associates, Inc. (CRD# 20999)
Tampa, FL

E.F. Hutton Advisors (CRD# 164089)
Buffalo, WY

Fairfax Global Markets LLC (CRD# 164741)
Middleburg, VA

Independent Financial Partners (CRD# 125112)
Tampa, FL

Parker/Hunter Asset Management, LLC (CRD# 159506)
Pittsburgh, PA

SCF Investment Advisors, Inc. (CRD# 123608)
Fresno, CA