

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: July 19, 2012  
Re: EXAMINATION REPORT

Attached hereto please find the report of the on-site examinations for the months ended May 31, 2012 and June 30, 2012.

**Examinations Division**  
**For The Period**  
**May 1, 2012 to June 30, 2012**

<b>On-Site Exams Started</b>	<b>BD</b>	<b>IA</b>	<b>Combined</b>
Total Exams Started	0	1	1

<b>On-Site Exams Completed</b>	<b>BD</b>	<b>IA</b>	<b>Combined</b>
Started and Completed During The Current Period	0	0	0
Started In A Prior Period and Completed During The Current Period	1	0	1
Referred to Enforcement Division	1	1	2
Total Exams Completed	<u>2</u>	<u>1</u>	<u>3</u>

<b>On-Site Exams Still Open</b>	<b>BD</b>	<b>IA</b>	<b>Combined</b>
Started During The Current Period	0	1	1
Started During A Prior Period	5	18	23
Total Still Open	<u>5</u>	<u>19</u>	<u>24</u>

	<b>BD</b>	<b>IA</b>	<b>Combined</b>
% of registrants examined during current period	0.11%	0.4%	0.51%
% of registrants against whom final action was taken during current period	0.05%	0.4%	0.45%
% of registrants examined against whom final action was taken during current period	50%	100%	150%

**NonBranch Sales Office Exam Questionnaires**

Total Reviewed      **0**

**On-Site Exam Aging**

<b>Days</b>	<b>Still Open</b>	<b>Completed</b>
<b>0-30</b>	<b>1</b>	<b>0</b>
<b>31-60</b>	<b>0</b>	<b>0</b>
<b>61-90</b>	<b>2</b>	<b>0</b>
<b>Over 90</b>	<b>21</b>	<b>3</b>
<b>Totals</b>	<b>24</b>	<b>3</b>

**Examinations Division**  
**For The Period**  
**May 1, 2012 to June 30, 2012**

**1 On-Site Exams Started but not Completed During Period**

IA/BD	Firm Name	Date Started
IA	PINKSTON CONSULTING, PLLC 1502 WEST 117TH COURT SOUTH JENKS, OK	6/4/2012

**3 On-Site Exams Completed During Period**

IA/BD	Firm Name	Date Started	Date Completed
BD	AMERIPRISE FINANCIAL SERVICES, INC. 4921 NW 163RD ST. EDMOND, OK	10/4/2011	5/7/2012
BD	FIRST ALLIED SECURITIES, INC. * 1900 E. 15TH, EDMOND, OK	9/28/2011	5/8/2012
IA	PARTNERS IN FINANCIAL PLANNING, INC. * 1900 E. 15TH, BLDG 700-D EDMOND, OK	9/28/2011	5/8/2012

\* Referred to Enforcement