

IRVING L. FAUGHT
ADMINISTRATOR



MARY FALLIN
GOVERNOR

STATE OF OKLAHOMA
DEPARTMENT OF SECURITIES

M E M O R A N D U M

To: Irving L. Faught, Administrator
From: Carol Gruis, Director of Examinations
Date: May 8, 2012
Re: EXAMINATION REPORT

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

Examinations Division
For The Period
March 1, 2012 to April 30, 2012

On-Site Exams Started	BD	IA	Combined
Total Exams Started	0	3	3

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

On-Site Exams Still Open	BD	IA	Combined
Started During The Current Period	0	3	3
Started During A Prior Period	6	16	22
Total Still Open	<u>6</u>	<u>19</u>	<u>25</u>

	BD	IA	Combined
% of registrants examined during current period	0%	0.4%	0.4%
% of registrants against whom final action was taken during current period	0%	0.4%	0.4%
% of registrants examined against whom final action was taken during current period	0%	100%	100%

NonBranch Sales Office Exam Questionnaires

Total Reviewed **0**

On-Site Exam Aging

Days	Still Open	Completed
0-30	2	0
31-60	1	0
61-90	2	0
Over 90	20	1
Totals	25	1

Examinations Division
For The Period
March 1, 2012 to April 30, 2012

3 On-Site Exams Started but not Completed During Period

IA/BD	Firm Name	Date Started
IA	SCHREIER FINANCIAL, LLC P.O. BOX 720656 OKLAHOMA CITY, OK	3/14/2012
IA	WEALTH MANAGEMENT ADVISORS, LLC 4200 EAST SKELLY DRIVE, SUITE 350 TULSA, OK	4/9/2012
IA	MERIT ADVISORS, INC. 11032 Quail Creek Road, Suite 105 Oklahoma City, OK	4/24/2012

1 On-Site Exams Completed During Period

IA/BD	Firm Name	Date Started	Date Completed
IA	PRIVATE CLIENT GROUP, INC. * 6403 N. W. Grand Boulevard, Suite 108 Oklahoma City, OK	3/29/2011	3/5/2012

* Referred to Enforcement