

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: 4/3/2012
Re: FIRMS AND PROFESSIONALS REPORT

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

Attachment

Oklahoma Department of Securities
Firms and Professionals Division
March 2012

As of
March 31, 2012

Broker-Dealers

FINRA Broker-Dealers Registered	1,543	
Non-FINRA Broker-Dealers Registered	1	
Broker-Dealers - Pending Applications	5	
Total Broker-Dealers		1,549

Investment Adviser Firms

Registered Investment Adviser Firms	128	
Registered Investment Adviser Firms - Pending Applications	18	
Total Registered and Pending IA Firms		146
Notice-Listed Investment Adviser Firms	977	
Notice-Listed Investment Adviser Firms - Pending Applications	3	
Total Notice-Listed IA Firms		980
Total Investment Adviser Firms		1,126

Investment Adviser Representatives

Registered Investment Adviser Reps.	4,573	
Registered Investment Adviser Reps.- Pending Applications	18	
Total Investment Adviser Reps.		4,591

For the Month of March 2012

Broker-Dealers initially Registered in March 2012		6
Investment Advisers initially Registered in March 2012		0
Investment Advisers initially Notice-Listed in March 2012		32
FINRA Broker-Dealer Agents Registered as of March 31, 2012		99,614
FINRA Broker-Dealer Agents Registered as of February 29, 2012		98,920
FINRA Broker-Dealer Agents Registered as of March 31, 2011		95,033
FINRA Broker-Dealer Agents accepted through the CRD in March 2012		1,886
Issuer Agents registered as of March 31, 2012		116

Broker-Dealers Initially Registered in March 2012

Halen Capital, Inc. (CRD# 135966)
Clearwater, FL

J. Alden Associates, Inc. (CRD# 40002)
Jenkintown, PA

J.P. McGowan & Company Incorporated (CRD# 16208)
Philadelphia, PA

K Capital LLC (CRD# 147191)
Atlanta, GA

Quoin Capital LLC (CRD# 136160)
Philadelphia, PA

TFO Capital LLC (CRD# 159007)
Huntington Bay, NY

Investment Advisers Initially Registered in March 2012

No new Registered IA's for this period

Investment Advisers Initially Making Notice Filing in March 2012

American Financial Advisors, LLC (CRD# 115824)
Marietta, GA

Ascende Wealth Advisors, Inc. (CRD# 155768)
Houston, TX

Asset Preservation Advisors Inc. (CRD# 106741)
Atlanta, GA

Bartlett & Co. LLC (CRD# 159973)
Cincinnati, OH

Buckingham Asset Management, LLC (CRD# 143323)
St. Louis, MO

CapTrust Financial Advisors, LLC (CRD# 126291)
Raleigh, NC

Compass Efficient Model Portfolios, LLC (CRD# 125568)
Brentwood, TN

Ellwood Associates (CRD# 110781)
Chicago, IL

Empyreal Investments, LLC (CRD# 160183)
Santa Monica, CA

Financial Management Professionals Inc. (CRD# 110270)
Austin, TX

Foundation Energy Management (CRD# 161141)
Dallas, TX

Good Harbor Financial (CRD# 127351)
Chicago, IL

Hamlin Capital Management, LLC (CRD# 119278)
New York, NY

Institutional Capital LLC (CRD# 107149)
Chicago, IL

M&I Financial Advisors, Inc. (CRD# 16517)

Milwaukee, WI

Mainstay Capital Management, LLC (CRD# 109528)
Grand Blanc, MI

McAlvany Wealth Management, LLC (CRD# 146021)
Durango, CO

McDaniel Knutson Financial Partners (CRD# 114412)
Lawrence, KS

Mercer Investment Management, Inc. (CRD# 133449)
Boston, MA

Metis, L.L.C. (CRD# 161075)
Saint Kitts and Nevis,

Miller Howard Investments Inc. (CRD# 105800)
Woodstock, NY

Nelson, Van Denburg & Campbell Wealth Management Group, LLC (CRD#)
Omaha, NE

Parsonex Advisory Services, Inc. (CRD# 160275)
Aurora, CO

Personal Capital Advisors Corporation (CRD# 155172)
San Francisco, CA

Principal Financial Advisors, Inc. (CRD# 105594)
Des Moines, IA

Quest Capital Management, Inc. (CRD# 114690)
Dallas, TX

Saratoga Research & Investment Management (CRD# 110506)
Saratoga, CA

TCG Advisors, LP (CRD# 112685)
Austin, TX

Turtle Creek Management, LLC (CRD# 140212)
Dallas, TX

Visionary Asset Management (CRD# 147304)
Houston, TX

Vontobel Asset Management, Inc. (CRD# 105007)
New York, NY

Wellesley Investment Advisors, Inc. (CRD# 116176)
Wellesley, MA