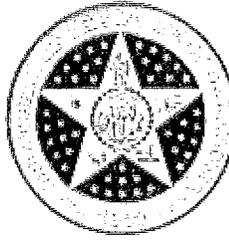


IRVING L. FAUGHT  
ADMINISTRATOR



MARY FALLIN  
GOVERNOR

STATE OF OKLAHOMA  
DEPARTMENT OF SECURITIES

MEMORANDUM

**To:** Irving L. Faught, Administrator  
**From:** Carol Gruis, Director of Examinations  
**Date:** 12/1/2011  
**Re:** FIRMS AND PROFESSIONALS REPORT

Attached is a report of the applications processed, as of November 30, 2011, for firms and professionals seeking to do business in Oklahoma.

Attachment

**Oklahoma Department of Securities**  
**Firms and Professionals Division**  
**November 2011**

As of  
November 30, 2011

**Broker-Dealers**

FINRA Broker-Dealers Registered	1,575	
Non-FINRA Broker-Dealers Registered	1	
Broker-Dealers - Pending Applications	5	
<b>Total Broker-Dealers</b>		<b>1,581</b>

**Investment Adviser Firms**

Registered Investment Adviser Firms	147	
Registered Investment Adviser Firms - Pending Applications	1	
<b>Total Registered and Pending IA Firms</b>		<b>148</b>
Notice-Listed Investment Adviser Firms	981	
Notice-Listed Investment Adviser Firms - Pending Applications	1	
<b>Total Notice-Listed IA Firms</b>		<b>982</b>
<b>Total Investment Adviser Firms</b>		<b>1,130</b>

**Investment Adviser Representatives**

Registered Investment Adviser Reps.	4,911	
Registered Investment Adviser Reps.- Pending Applications	11	
<b>Total Investment Adviser Reps.</b>		<b>4,922</b>

**For the Month of November 2011**

Broker-Dealers initially Registered in November 2011		2
Investment Advisers initially Registered in November 2011		2
Investment Advisers initially Notice-Listed in November 2011		4
FINRA Broker-Dealer Agents Registered as of November 30, 2011		<b>102,582</b>
FINRA Broker-Dealer Agents Registered as of October 31, 2011		<b>102,279</b>
FINRA Broker-Dealer Agents Registered as of November 30, 2010		<b>92,771</b>
FINRA Broker-Dealer Agents accepted through the CRD in November 2011		<b>1,732</b>
Issuer Agents registered as of November 30, 2011		<b>122</b>

**Broker-Dealers Initially Registered in November 2011**

**AST Investor Services LLC** (CRD# 155050)  
New York, NY

**Central States Capital Market, LLC** (CRD# 155291)  
Kansas City, MO

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**Investment Advisers Initially Registered in November 2011**

**Avondale** (CRD# 119760)  
Oklahoma City, OK

**Pacific American Securities LLC** (CRD# 42999)  
San Diego, CA

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**Investment Advisers Initially Making Notice Filing in November 2011**

**AlphaStar Capital Management, LLC** (CRD# 157423)  
Cornelius, NC

**Aventura Capital Management, LLC** (CRD# 142478)  
Aventura, FL

**Hufford Advisors, LLC** (CRD# 159363)  
Indianapolis, IN

**Virtue of Selfish Investing, LLC** (CRD# 158743)  
Playa Del Rey, CA