

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: November 26, 2012
Re: EXAMINATION REPORT

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

Examinations Division
For The Period
September 1, 2012 to October 31, 2012

On-Site Exams Started		BD	IA	Combined
Total Exams Started		1	2	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	3	3
Referred to Enforcement Division		0	0	0
Total Exams Completed		<u>0</u>	<u>3</u>	<u>3</u>
On-Site Exams Still Open		BD	IA	Combined
Started During The Current Period		1	2	3
Started During A Prior Period		4	14	18
Total Still Open		<u>5</u>	<u>16</u>	<u>21</u>
		BD	IA	Combined
% of registrants examined during current period		0%	1.18%	1.18%
% of registrants against whom final action was taken during current period		0%	0.78%	0.78%
% of registrants examined against whom final action was taken during current period		0%	66.67%	66.67%

NonBranch Sales Office Exam Questionnaires

Total Reviewed **1**

On-Site Exam Aging

Days	Still Open	Completed
0-30	2	0
31-60	1	0
61-90	1	0
Over 90	17	3
Totals	21	3

Examinations Division
For The Period
September 1, 2012 to October 31, 2012

3 On-Site Exams Started but not Completed During Period

IA/BD	Firm Name	Date Started
IA	FINANCIAL DESTINY LLC 5127 E. 102ND PL. S TULSA, OK	9/4/2012
BD	PRIMEVEST FINANCIAL SERVICES, INC. 2101 SW 104TH OKLAHOMA CITY, OK	10/11/2012
IA	D.M. WEALTH MANAGEMENT, INC. 3750 WEST MAIN STREET, SUITE AA NORMAN, OK	10/15/2012

3 On-Site Exams Completed During Period

IA/BD	Firm Name	Date Started	Date Completed
IA	PINKSTON CONSULTING, PLLC 1502 WEST 117TH COURT SOUTH JENKS, OK	6/4/2012	9/12/2012
IA	SCHREIER FINANCIAL, LLC P.O. BOX 720656 OKLAHOMA CITY, OK	3/14/2012	10/3/2012
IA	BUTTERWORTH FINANCIAL ADVISORY, LLC 2642 EAST 21ST STREET, STE 280 TULSA, OK	8/25/2011	10/3/2012

* Referred to Enforcement