

IRVING L. FAUGHT
ADMINISTRATOR



MARY FALLIN
GOVERNOR

STATE OF OKLAHOMA
DEPARTMENT OF SECURITIES

MEMORANDUM

To: Irving L. Faught, Administrator
From: Melanie Hall, Deputy Administrator
Date: May 16, 2013
Re: EXAMINATION REPORT

Attached hereto please find the report of the on-site examinations for the months ended March and April, 2013.

Attachment

Examinations Division
For The Period
March 1, 2013 to April 30, 2013

On-Site Exams Started		BD	IA	Combined
Total Exams Started		0	7	7

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	2	2
Referred to Enforcement Division		1	0	1
Total Exams Completed		1	2	3

On-Site Exams Still Open		BD	IA	Combined
Started During The Current Period		0	7	7
Started During A Prior Period		4	21	25
Total Still Open		4	28	32

	BD	IA	Combined
% of registrants examined during current period	0%	0%	0%
% of registrants against whom final action was taken during current period	0.05%	0.75%	0.8%
% of registrants examined against whom final action was taken during current period	0%	0%	0%

NonBranch Sales Office Exam Questionnaires	
Total Reviewed	1

On-Site Exam Aging		
Days	Still Open	Completed
0-30	2	0
31-60	5	0
61-90	4	0
Over 90	21	3
Totals	32	3

Examinations Division
For The Period
March 1, 2013 to April 30, 2013

7 On-Site Exams Started but not Completed During Period

IA/BD	Firm Name	Date Started
IA	2 NORTH INVESTMENT ADVISORS 24265 S. HIGHWAY 2 VINITA, OK	3/1/2013
IA	BOSTON STREET ADVISORS, INC. 20 E. 5TH STREET, SUITE 1200 G TULSA, OK	3/12/2013
IA	WOMACK INVESTMENT ADVISERS, INC. 2000 E. 15th Street, Building 100-B Edmond, OK	3/19/2013
IA	TRINITY CAPITAL ASSET ADVISORS, LLC 1366 E. 15TH STREET EDMOND, OK	3/19/2013
IA	CYPRESS POINT CAPITAL, LLC 10934 SOUTH HUDSON AVENUE TULSA, OK	3/29/2013
IA	JOHN H. TAYLOR, LLC 17529 N.E. 122ND STREET, SUITE B JONES, OK	4/2/2013
IA	HUNTER MCGUIRE CAPITAL MANAGEMENT, L.L.C. 2912 N.W. 156TH STREET EDMOND, OK	4/30/2013

3 On-Site Exams Completed During Period

IA/BD	Firm Name	Date Started	Date Completed
BD	FINANCIAL NETWORK INVESTMENT CORPORATION * 10440 N. 205TH E. AVE. CLAREMORE, OK	12/12/2011	3/4/2013
IA	COACHWISE FINANCIAL SOLUTIONS LLC 4500 S. GARNETT, SUITE 920 TULSA, OK	9/28/2011	3/4/2013
IA	JBR CO. - FINANCIAL MANAGEMENT, INC. P. O. Box 306 Ardmore, OK	11/8/2012	3/26/2013

* Referred to Enforcement