

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: January 10, 2014  
Re: EXAMINATION REPORT

Attached hereto please find the report of the on-site examinations for the months ended November 30, 2013 and December 31, 2013.

**Examinations Division**  
**For The Period**  
**November 1, 2013 to December 31, 2013**

<b>On-Site Exams Started</b>	<b>BD</b>	<b>IA</b>	<b>Combined</b>
Total Exams Started	2	4	6
<b>On-Site Exams Completed</b>	<b>BD</b>	<b>IA</b>	<b>Combined</b>
Started and Completed During The Current Period	0	1	1
Started In A Prior Period and Completed During The Current Period	0	4	4
Referred to Enforcement Division	0	0	0
Total Exams Completed	<u>0</u>	<u>5</u>	<u>5</u>
<b>On-Site Exams Still Open</b>	<b>BD</b>	<b>IA</b>	<b>Combined</b>
Started During The Current Period	2	3	5
Started During A Prior Period	5	25	30
Total Still Open	<u>7</u>	<u>28</u>	<u>35</u>
	<b>BD</b>	<b>IA</b>	<b>Combined</b>
% of registrants examined during current period	0%	0.37%	0.37%
% of registrants against whom final action was taken during current period	0%	0.37%	0.37%
% 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	3	1
61-90	7	0
Over 90	23	4
<b>Totals</b>	<b>35</b>	<b>5</b>

**Examinations Division**  
**For The Period**  
**November 1, 2013 to December 31, 2013**

**5 On-Site Exams Started but not Completed During Period**

IA/BD	Firm Name	Date Started
BD	INVESTACORP, INC. 2530 E. 71ST STREET TULSA, OK	11/18/2013
IA	C. VICTOR COATES, C.P.A. 1223 E. HIGHLAND PONCA CITY, OK	11/19/2013
IA	FINANCIAL SECURITY INVESTMENT MANAGEMENT CORPORATION 4111 South Darlington, Suite 1190, Southland Tower TULSA, OK	11/21/2013
IA	BIVIN & ASSOCIATES, INC. 412 S. 14TH PONCA CITY, OK	12/3/2013
BD	UBS PAINWEBBER INC. 2431 EAST 61ST STREET TULSA, OK	12/16/2013

**5 On-Site Exams Completed During Period**

IA/BD	Firm Name	Date Started	Date Completed
IA	REDHAWK WEALTH ADVISORS, INC. 7400 METRO BLVD. SUITE 400 MINNEAPOLIS, MN	1/4/2012	12/2/2013
IA	CHAPPELWOOD FINANCIAL SERVICES 1725 E. 15TH STREET EDMOND, OK	2/27/2013	12/13/2013
IA	DCH FINANCIAL SERVICES, INC. 6940 South Utica, Suite 103 TULSA, OK	11/18/2013	12/19/2013
IA	2 NORTH INVESTMENT ADVISORS 24265 S. HIGHWAY 2 VINITA, OK	3/1/2013	12/19/2013
IA	HUNTER MCGUIRE CAPITAL MANAGEMENT, L.L.C. 2912 N.W. 156TH STREET EDMOND, OK	4/30/2013	12/31/2013

\* Referred to Enforcement