

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:** 12/3/2013  
**Re:** FIRMS AND PROFESSIONALS REPORT

Attached is a report of the applications processed, as of November 30, 2013, for firms and professionals seeking to do business in Oklahoma.

Attachment

**Oklahoma Department of Securities**  
**Firms and Professionals Division**  
**November 2013**

As of  
November 30, 2013

**Broker-Dealers**

FINRA Broker-Dealers Registered	1,526	
Non-FINRA Broker-Dealers Registered	1	
Broker-Dealers - Pending Applications	4	
		<b>Total Broker-Dealers 1,531</b>

**Investment Adviser Firms**

Registered Investment Adviser Firms	159	
Registered Investment Adviser Firms - Pending Applications	4	
		<b>Total Registered and Pending IA Firms 163</b>
Notice-Listed Investment Adviser Firms	1,003	
Notice-Listed Investment Adviser Firms - Pending Applications	1	
		<b>Total Notice-Listed IA Firms 1,004</b>
		<b>Total Investment Adviser Firms 1,167</b>

**Investment Adviser Representatives**

Registered Investment Adviser Reps.	4,706	
Registered Investment Adviser Reps.- Pending Applications	6	
		<b>Total Investment Adviser Reps. 4,712</b>

**For the Month of November 2013**

Broker-Dealers initially Registered in November 2013		5
Investment Advisers initially Registered in November 2013		2
Investment Advisers initially Notice-Listed in November 2013		5
FINRA Broker-Dealer Agents Registered as of November 30, 2013		106,165
FINRA Broker-Dealer Agents Registered as of October 31, 2013		105,763
FINRA Broker-Dealer Agents Registered as of November 30, 2012		102,678
FINRA Broker-Dealer Agents accepted through the CRD in November 2013		1,604
Issuer Agents registered as of November 30, 2013		105

## Broker-Dealers Initially Registered in November 2013

Cate Street Securities, LLC (CRD# 166758)  
Portland, ME

Clarion Partners securities, LLC (CRD# 166384)  
New York, NY

JSI Transaction Advisors, LLC (CRD# 122139)  
Greenbelt, MD

Kenai Investments, Inc. (CRD# 125974)  
Amarillo, TX

Scura Paley Securities LLC (CRD# 118219)  
New York, NY

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## Investment Advisers Initially Registered in November 2013

NAFA Capital Markets, LLC (CRD# 133599)  
Oklahoma City, OK

Wingate Capital Advisors LLC (CRD# 168188)  
Tulsa, OK

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## Investment Advisers Initially Making Notice Filing in November 2013

Acorns (CRD# 165926)  
Newport Beach, CA

Astor Investment Management LLC (CRD# 169679)  
Chicago, IL

Regal Investment Advisors LLC (CRD# 125004)  
Kentwood, MI

Strategic Financial Concepts, LLC (CRD# 141849)  
San Antonio, TX

TransAmerica Retirement Advisors, Inc. (CRD# 107319)  
Natick, MA