

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: 10/1/2013
Re: FIRMS AND PROFESSIONALS REPORT

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

Attachment

Oklahoma Department of Securities
Firms and Professionals Division
September 2013

As of
September 30, 2013

Broker-Dealers

FINRA Broker-Dealers Registered	1,530	
Non-FINRA Broker-Dealers Registered	1	
Broker-Dealers - Pending Applications	3	
Total Broker-Dealers		1,534

Investment Adviser Firms

Registered Investment Adviser Firms	159	
Registered Investment Adviser Firms - Pending Applications	3	
Total Registered and Pending IA Firms		162
Notice-Listed Investment Adviser Firms	998	
Notice-Listed Investment Adviser Firms - Pending Applications	0	
Total Notice-Listed IA Firms		998
Total Investment Adviser Firms		1,160

Investment Adviser Representatives

Registered Investment Adviser Reps.	4,696	
Registered Investment Adviser Reps.- Pending Applications	5	
Total Investment Adviser Reps.		4,701

For the Month of September 2013

Broker-Dealers initially Registered in September 2013		5
Investment Advisers initially Registered in September 2013		3
Investment Advisers initially Notice-Listed in September 2013		14
FINRA Broker-Dealer Agents Registered as of September 30, 2013		105,028
FINRA Broker-Dealer Agents Registered as of August 31, 2013		104,043
FINRA Broker-Dealer Agents Registered as of September 30, 2012		102,316
FINRA Broker-Dealer Agents accepted through the CRD in September 2013		2,209
Issuer Agents registered as of September 30, 2013		107

Broker-Dealers Initially Registered in September 2013

Fantex Brokerage Services, LLC (CRD# 164783)
San Francisco, CA

Keystone Capital Corporation (CRD# 10722)
San Diego, CA

Siguler Guff Global Markets, LLC (CRD# 159534)
New York, NY

Snowden Account Services, Inc. (CRD# 149794)
New York, NY

Towers Watson Capital Markets Inc. (CRD# 146485)
New York, NY

Investment Advisers Initially Registered in September 2013

Biltmore Wealth Management, LLC (CRD# 151365)
Scottsdale, AZ

Regent Financial Services, Inc. (CRD# 128636)
Tulsa, OK

Seraph Capital Associates, LLC (CRD# 165754)
Ponca City, OK

Investment Advisers Initially Making Notice Filing in September 2013

Axys Capital Management (CRD# 167434)
Austin, TX

Blackrock Private Equity Partners AG (CRD# 161987)
Zurich, Switzerland 8002,

CFO4Life, L.P. (CRD# 146904)
Coppell, TX

FTB Advisors, Inc. (CRD# 17117)
Memphis, TN

FirstPoint Financial, LLC (CRD# 168793)
Leawood, KS

Hanson McClain Advisors (CRD# 111167)
Sacramento, CA

Householder Group Estate & Retirement Specialists (CRD# 169045)
Scottsdale, AZ

IAdvise Partners (CRD# 168564)
New York, NY

Larson Financial Group, LLC (CRD# 140599)
Saint Louis, MO

McGowan Group Asset Management, Inc. (CRD# 154127)
Dallas, TX

Mutual of Omaha Investor Services, Inc. (CRD# 611)
Omaha, NE

Private Capital Management, LLC (CRD# 169172)
Naples, FL

RBK Capital, LLC (CRD# 165031)
Oklahoma City, OK

Robotic Trading Advisors, LLC (CRD# 168687)
Scottsdale, AZ