

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:** 3/5/2014  
**Re:** FIRMS AND PROFESSIONALS REPORT

Attached is a report of the applications processed, as of February 28, 2014, for firms and professionals seeking to do business in Oklahoma.

Attachment

**Oklahoma Department of Securities**  
**Firms and Professionals Division**  
**February 2014**

As of  
February 28, 2014

**Broker-Dealers**

FINRA Broker-Dealers Registered	1,490	
Non-FINRA Broker-Dealers Registered	1	
Broker-Dealers - Pending Applications	5	
<b>Total Broker-Dealers</b>		<b>1,496</b>

**Investment Adviser Firms**

Registered Investment Adviser Firms	162	
Registered Investment Adviser Firms - Pending Applications	4	
<b>Total Registered and Pending IA Firms</b>		<b>166</b>
Notice-Listed Investment Adviser Firms	986	
Notice-Listed Investment Adviser Firms - Pending Applications	1	
<b>Total Notice-Listed IA Firms</b>		<b>987</b>
<b>Total Investment Adviser Firms</b>		<b>1,153</b>

**Investment Adviser Representatives**

Registered Investment Adviser Reps.	4,631	
Registered Investment Adviser Reps.- Pending Applications	4	
<b>Total Investment Adviser Reps.</b>		<b>4,635</b>

**For the Month of February 2014**

Broker-Dealers initially Registered in February 2014		5
Investment Advisers initially Registered in February 2014		1
Investment Advisers initially Notice-Listed in February 2014		4
FINRA Broker-Dealer Agents Registered as of February 28, 2014		105,036
FINRA Broker-Dealer Agents Registered as of January 31, 2014		104,320
FINRA Broker-Dealer Agents Registered as of February 28, 2013		100,649
FINRA Broker-Dealer Agents accepted through the CRD in February 2014		1,756
Issuer Agents registered as of February 28, 2014		98

## **Broker-Dealers Initially Registered in February 2014**

**Breakwater Group LLC (CRD# 167601)**  
New York, NY

**Mitsubishi UFJ Securities (USA), Inc. (CRD# 19685)**  
New York, NY

**Percival Financial Partners, Ltd. (CRD# 41813)**  
Baltimore, MD

**Rodgers Brothers, Inc. (CRD# 16197)**  
Cranberry Township, PA

**Seed Equity Ventures, LLC (CRD# 167337)**  
Salt Lake City, UT

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## **Investment Advisers Initially Registered in February 2014**

**Steady Returns (CRD# 166834)**  
Delray Beach, FL

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## **Investment Advisers Initially Making Notice Filing in February 2014**

**E.F. Hutton Advisors (CRD# 164089)**  
Buffalo, WY

**JLTD Advisors, LLC (CRD# 153690)**  
Chicago, IL

**Meritage Financial Solutions (CRD# 158032)**  
Charlottesville, VA

**Vulcan Value Partners LLC (CRD# 151190)**  
Birmingham, AL