

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: May 2, 2014
Re: EXAMINATION REPORT

Attached hereto please find the report of the on-site examinations for the months ended March 31, 2014 and April 30, 2014.

Examinations Division For The Period March 1, 2014 to April 30, 2014

On-Site Exams Started	BD	IA	Combined
Total Exams Started	1	2	3
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	3	3
Referred to Enforcement Division	0	0	0
Total Exams Completed	<u>0</u>	<u>3</u>	<u>3</u>
On-Site Exams Still Open	BD	IA	Combined
Started During The Current Period	1	2	3
Started During A Prior Period	5	21	26
Total Still Open	<u>6</u>	<u>23</u>	<u>29</u>
	BD	IA	Combined
% of registrants examined during current period	0%	0%	0%
% of registrants against whom final action was taken during current period	0%	0.73%	0.73%
% 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	1	0
61-90	1	0
Over 90	25	3
Totals	29	3

Examinations Division
For The Period
March 1, 2014 to April 30, 2014

3 On-Site Exams Started but not Completed During Period

IA/BD	Firm Name	Date Started
IA	ASSET MANAGEMENT SOLUTIONS, LLC DBA ASSET PLANNING SOLUTIONS 1233 EAST 33RD EDMOND, OK	3/5/2014
BD	CUNA BROKERAGE SERVICES, INC. 4500 S. 129TH ST. E AVE. TULSA, OK	4/3/2014
IA	FIRST INDEPENDENT ADVISORY SERVICES, INC. 7134 SOUTH YALE, SUITE 560 TULSA, OK	4/14/2014

3 On-Site Exams Completed During Period

IA/BD	Firm Name	Date Started	Date Completed
IA	ACCESS ADVISORY GROUP, LLC 3621 NW 63RD OKLAHOMA CITY, OK	12/10/2012	3/17/2014
IA	FREDRIC E. RUSSELL INVESTMENT MANAGEMENT CO. 1924 S Utica Ave, Suite 1202 TULSA, OK	9/16/2013	3/18/2014
IA	STEP BY STEP FINANCIAL, LLC 121 W. COMMERCIAL STREET BROKEN ARROW, OK	11/30/2012	4/24/2014

* Referred to Enforcement