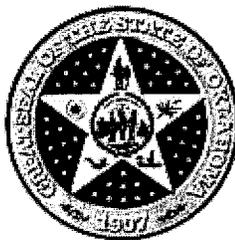


IRVING L. FAUGHT
ADMINISTRATOR



MARY FALLIN
GOVERNOR

STATE OF OKLAHOMA
DEPARTMENT OF SECURITIES

MEMORANDUM

To: Irving L. Faught, Administrator
From: Carol Gruis, Director of Examinations
Date: 5/2/2014
Re: FIRMS AND PROFESSIONALS REPORT

Attached is a report of the applications processed, as of April 30, 2014, for firms and professionals seeking to do business in Oklahoma.

Attachment

Oklahoma Department of Securities
Firms and Professionals Division
April 2014

As of
April 30, 2014

Broker-Dealers

FINRA Broker-Dealers Registered	1,494	
Non-FINRA Broker-Dealers Registered	1	
Broker-Dealers - Pending Applications	10	
Total Broker-Dealers		1,505

Investment Adviser Firms

Registered Investment Adviser Firms	165	
Registered Investment Adviser Firms - Pending Applications	4	
Total Registered and Pending IA Firms		169
Notice-Listed Investment Adviser Firms	1,006	
Notice-Listed Investment Adviser Firms - Pending Applications	1	
Total Notice-Listed IA Firms		1,007
Total Investment Adviser Firms		1,176

Investment Adviser Representatives

Registered Investment Adviser Reps.	4,670	
Registered Investment Adviser Reps.- Pending Applications	11	
Total Investment Adviser Reps.		4,681

For the Month of April 2014

Broker-Dealers initially Registered in April 2014		9
Investment Advisers initially Registered in April 2014		2
Investment Advisers initially Notice-Listed in April 2014		4
FINRA Broker-Dealer Agents Registered as of April 30, 2014		106,338
FINRA Broker-Dealer Agents Registered as of March 31, 2014		105,777
FINRA Broker-Dealer Agents Registered as of April 30, 2013		101,666
FINRA Broker-Dealer Agents accepted through the CRD in April 2014		1,870
Issuer Agents registered as of April 30, 2014		101

Broker-Dealers Initially Registered in April 2014

Applied Capital, LLC (CRD# 166316)
Indianapolis, IN

Brighton Securities Corp. (CRD# 3875)
Rochester, NY

CommunityAmerica Financial solutions, LLC (CRD# 168203)
Lenexa, KS

Cornerstone Macro LLC (CRD# 168152)
New York, NY

Joseph Grace (CRD# 103580)
New York, NY

Liccar Securities & Custodial Services, LLC (CRD# 151034)
Chicago, IL

RS Funds Distributor LLC (CRD# 165753)
San Francisco, CA

Vectorglobal WMG (CRD# 32396)
Miami, FL

Welborn Capital LLC (CRD# 152234)
Hudson, NY

Investment Advisers Initially Registered in April 2014

CLA USA Advisory Group, LLC (CRD# 167696)
Frisco, TX

Paramount Financial LLC (CRD# 113500)
St. Louis, MO

Investment Advisers Initially Making Notice Filing in April 2014

Corda Investment Management, LLC (CRD# 108046)
Houston, TX

Lawing Financial Inc. (CRD# 117178)
Overland Park, KS

Mariner Wealth Advisors, LLC (CRD# 170703)
Leawood, KS

Stolper Asset Management (CRD# 132962)
Tulsa, OK