

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: 4/2/2014
Re: FIRMS AND PROFESSIONALS REPORT

Attached is a report of the applications processed, as of March 31, 2014, for firms and professionals seeking to do business in Oklahoma.

Attachment

Oklahoma Department of Securities
Firms and Professionals Division
March 2014

As of
March 31, 2014

Broker-Dealers

FINRA Broker-Dealers Registered	1,491	
Non-FINRA Broker-Dealers Registered	1	
Broker-Dealers - Pending Applications	6	
Total Broker-Dealers		1,498

Investment Adviser Firms

Registered Investment Adviser Firms	163	
Registered Investment Adviser Firms - Pending Applications	4	
Total Registered and Pending IA Firms		167
Notice-Listed Investment Adviser Firms	1,002	
Notice-Listed Investment Adviser Firms - Pending Applications	3	
Total Notice-Listed IA Firms		1,005
Total Investment Adviser Firms		1,172

Investment Adviser Representatives

Registered Investment Adviser Reps.	4,651	
Registered Investment Adviser Reps.- Pending Applications	9	
Total Investment Adviser Reps.		4,660

For the Month of March 2014

Broker-Dealers initially Registered in March 2014		7
Investment Advisers initially Registered in March 2014		1
Investment Advisers initially Notice-Listed in March 2014		19
FINRA Broker-Dealer Agents Registered as of March 31, 2014		105,777
FINRA Broker-Dealer Agents Registered as of February 28, 2014		105,036
FINRA Broker-Dealer Agents Registered as of March 31, 2013		101,092
FINRA Broker-Dealer Agents accepted through the CRD in March 2014		1,871
Issuer Agents registered as of March 31, 2014		101

Broker-Dealers Initially Registered in March 2014

Acorns Securities, LLC (CRD# 168172)
Newport Beach, CA

Arbor Court Capital, LLC (CRD# 143839)
Cleveland, OH

Bill Few Securities, Inc. (CRD# 41917)
Pittsburgh, PA

Boursa Investments (CRD# 152516)
San Diego, CA

Investment Placement Group (CRD# 14458)
San Diego, CA

Metropolitan Capital Investment Banc, Inc. (CRD# 148820)
Chicago, IL

MML Strategic Distributors, LLC (CRD# 168638)
Springfield, MA

Investment Advisers Initially Registered in March 2014

Cosner Financial Group, LLC (CRD# 147942)
Midland, TX

Investment Advisers Initially Making Notice Filing in March 2014

440 Investment Group, LLC (CRD# 155399)
Leawood, KS

Absolute Capital Management, LLC (CRD# 121484)
Pittsburgh, PA

Allegheny Financial Group Ltd. (CRD# 104690)
Pittsburgh, PA

Capital Guardian Wealth Management, LLC (CRD# 131631)
Charlotte, NC

Chartwell Investment Partners, Inc. (CRD# 170335)
Berwyn, PA

Check Capital Management, Inc. (CRD# 107058)
Costa Mesa, CA

Crystal Capital Partners, LLC (CRD# 146010)
Bay Harbor Islands, FL

Dolan McEniry Capital Management LLC (CRD# 108658)
Chicago, IL

Douglas C. Lane & Associates, Inc. (CRD# 104882)
New York, NY

Founders Financial Securities, LLC (CRD# 137945)
Towson, MD

Globalt Investments (CRD# 168405)
Atlanta, GA

Guggenheim Partners Investment Management, LLC (CRD# 137432)
Santa Monica, CA

Infinex Investments, Inc. (CRD# 35371)
Meriden, CT

PNC Investments (CRD# 129052)
Pittsburgh, PA

Portfolio Advisors LLC (CRD# 105981)
Darien, CT

Segal Rogerscasey (CRD# 114687)
New York, NY

Smith Group Asset Management (CRD# 106301)
Dallas, TX

Sontag Advisory LLC (CRD# 106181)
New York, NY

Two Fish Management (CRD# 149612)
Indianapolis, IN