

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: 8/1/2014
Re: FIRMS AND PROFESSIONALS REPORT

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

Attachment

Oklahoma Department of Securities
Firms and Professionals Division
July 2014

As of
July 31, 2014

Broker-Dealers

FINRA Broker-Dealers Registered	1,506	
Non-FINRA Broker-Dealers Registered	1	
Broker-Dealers - Pending Applications	7	
Total Broker-Dealers		1,514

Investment Adviser Firms

Registered Investment Adviser Firms	166	
Registered Investment Adviser Firms - Pending Applications	10	
Total Registered and Pending IA Firms		176
Notice-Listed Investment Adviser Firms	1,019	
Notice-Listed Investment Adviser Firms - Pending Applications	0	
Total Notice-Listed IA Firms		1,019
Total Investment Adviser Firms		1,195

Investment Adviser Representatives

Registered Investment Adviser Reps.	4,712	
Registered Investment Adviser Reps.- Pending Applications	4	
Total Investment Adviser Reps.		4,716

For the Month of July 2014

Broker-Dealers initially Registered in July 2014		5
Investment Advisers initially Registered in July 2014		1
Investment Advisers initially Notice-Listed in July 2014		6
FINRA Broker-Dealer Agents Registered as of July 31, 2014		108,331
FINRA Broker-Dealer Agents Registered as of June 30, 2014		107,565
FINRA Broker-Dealer Agents Registered as of July 31, 2013		103,243
FINRA Broker-Dealer Agents accepted through the CRD in July 2014		2,257
Issuer Agents registered as of July 31, 2014		104

Broker-Dealers Initially Registered in July 2014

American Diversified Financial Group LLC (CRD# 104026)
Evansville, IN

Coady Diemar Partners, LLC (CRD# 128334)
Peapack, NJ

Gottex Brokers Alternative USA Inc. (CRD# 159849)
Los Angeles, CA

Palmetto Advisory Group (CRD# 150270)
Kiawah Island, SC

Prime Executions, Inc. (CRD# 32889)
New York, NY

Investment Advisers Initially Registered in July 2014

Archon Advisory Corporation (CRD# 170603)
Cherry Hill, NJ

Investment Advisers Initially Making Notice Filing in July 2014

EquityCompass Strategies (CRD# 145420)
Baltimore, MD

Hancock Investment Services, Inc. (CRD# 40637)
Baton Rouge, LA

MFG Asset Management (CRD# 159256)
Sydney, NSW, 2000, Australia,

Nottingham Advisors Inc. (CRD# 104928)
Williamsville, NY

Shadowstone Partners (CRD# 171952)
Overland Park, KS

Vigilare Wealth Management LLC (CRD# 157663)
Scottsdale, AZ