

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: November 14, 2014  
Re: EXAMINATION REPORT

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

## Examinations Division For The Period September 1, 2014 to October 31, 2014

<b>On-Site Exams Started</b>	<b>BD</b>	<b>IA</b>	<b>Combined</b>
Total Exams Started	7	4	11
<b>On-Site Exams Completed</b>	<b>BD</b>	<b>IA</b>	<b>Combined</b>
Started and Completed During The Current Period	1	1	2
Started In A Prior Period and Completed During The Current Period	1	5	6
Referred to Enforcement Division	0	1	1
Total Exams Completed	<u>2</u>	<u>7</u>	<u>9</u>
<b>On-Site Exams Still Open</b>	<b>BD</b>	<b>IA</b>	<b>Combined</b>
Started During The Current Period	6	3	9
Started During A Prior Period	1	10	11
Total Still Open	<u>7</u>	<u>13</u>	<u>20</u>
	<b>BD</b>	<b>IA</b>	<b>Combined</b>
% of registrants examined during current period	0.05%	0.36%	0.41%
% of registrants against whom final action was taken during current period	0%	1.09%	1.09%
% of registrants examined against whom final action was taken during current period	0%	300%	300%

### NonBranch Sales Office Exam Questionnaires

Total Reviewed      1

### On-Site Exam Aging

Days	Still Open	Completed
0-30	4	2
31-60	5	1
61-90	2	0
Over 90	9	6
<b>Totals</b>	<b>20</b>	<b>9</b>

**Examinations Division**  
**For The Period**  
**September 1, 2014 to October 31, 2014**

**9 On-Site Exams Started but not Completed During Period**

IA/BD	Firm Name	Date Started
BD	ST. BERNARD FINANCIAL SERVICES INC. 6 NE 63RD ST, SUITE 240 OKLAHOMA CITY, OK	9/8/2014
IA	BOLLINGER FINANCIAL ADVISORY, INC. 205 W. Seventh, Suite 203A STILLWATER, OK	9/15/2014
IA	THE ROBERT G. WHEELER CAPITAL MANAGEMENT COMPANY, INC. 5216 EAST 69TH PLACE TULSA, OK	9/17/2014
BD	LPL FINANCIAL LLC 9500 129 EAST AVE. OWASSO, OK	9/24/2014
BD	MORGAN STANLEY 2828 W. UNIVERSITY BLVD. SUITE 118 DURANT, OK	9/30/2014
BD	VSR FINANCIAL SERVICES, INC. 6964 S. 69TH STREET EAST AVE. TULSA, OK	10/1/2014
IA	ONSTOTT & ASSOCIATES, INC. 6 N. E. 63RD STREET, SUITE 240 OKLAHOMA CITY, OK	10/8/2014
BD	RAYMOND JAMES FINANCIAL SERVICES 101 EAST MAIN STREET ADA, OK	10/14/2014
BD	LPL FINANCIAL 1400 W. MAIN ST. DURANT, OK	10/16/2014

**9 On-Site Exams Completed During Period**

IA/BD	Firm Name	Date Started	Date Completed
IA	RKM INVESTMENTS, INC. 2 East 11th Street, Suite 203 EDMOND, OK	8/6/2014	9/15/2014
IA	PENTECOST CAPITAL MANAGEMENT, INC. * 1218 EAST 33RD STREET TULSA, OK	2/18/2014	9/15/2014
IA	HARVARD ADVISORS, LLC 3010 South Harvard Avenue, Suite 400 TULSA, OK	3/17/2014	9/16/2014
IA	JAMES MARTIN BROWN 7060 S. Yale, Suite 701 TULSA, OK	9/17/2013	10/6/2014
BD	PURSHE KAPLAN STERLING 7601 SOUTH YALE TULSA, OK	9/23/2013	10/6/2014
BD	VSR FINANCIAL SERVICES, INC. 6964 S. 69TH E. AVE. TULSA, OK	10/1/2014	10/7/2014
IA	STEPHEN H. MCDONALD & ASSOCIATES, INC. 2200 McKown Drive NORMAN, OK	10/23/2013	10/8/2014
IA	TRINITY CAPITAL ASSET ADVISORS, LLC 1366 E. 15TH STREET EDMOND, OK	3/19/2013	10/21/2014
IA	KRB AND ASSOCIATES, INC. 1200 NW 63rd OKLAHOMA CITY, OK	9/29/2014	10/29/2014

\* Referred to Enforcement