

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: 1/5/2015
Re: FIRMS AND PROFESSIONALS REPORT

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

Attachment

Oklahoma Department of Securities
Firms and Professionals Division
December 2014

As of
December 31, 2014

Broker-Dealers

FINRA Broker-Dealers Registered	1,496	
Non-FINRA Broker-Dealers Registered	1	
Broker-Dealers - Pending Applications	6	
Total Broker-Dealers		1,503

Investment Adviser Firms

Registered Investment Adviser Firms	155	
Registered Investment Adviser Firms - Pending Applications	9	
Total Registered and Pending IA Firms		164
Notice-Listed Investment Adviser Firms	1,031	
Notice-Listed Investment Adviser Firms - Pending Applications	1	
Total Notice-Listed IA Firms		1,032
Total Investment Adviser Firms		1,196

Investment Adviser Representatives

Registered Investment Adviser Reps.	4,657	
Registered Investment Adviser Reps.- Pending Applications	10	
Total Investment Adviser Reps.		4,667

For the Month of December 2014

Broker-Dealers initially Registered in December 2014		5
Investment Advisers initially Registered in December 2014		0
Investment Advisers initially Notice-Listed in December 2014		8
FINRA Broker-Dealer Agents Registered as of December 31, 2014		105,484
FINRA Broker-Dealer Agents Registered as of November 30, 2014		110,945
FINRA Broker-Dealer Agents Registered as of December 31, 2013		101,124
FINRA Broker-Dealer Agents accepted through the CRD in December 2014		1,195
Issuer Agents registered as of December 31, 2014		104

Broker-Dealers Initially Registered in December 2014

CCA Capital LLC (CRD# 154837)
Boston, MA

Katalyst Securities LLC (CRD# 112494)
New York, NY

Liberty Associates, Inc. (CRD# 15071)
New York, NY

Primary Capital, LLC (CRD# 127921)
New York, NY

Supreme Alliance LLC (CRD# 45348)
Lancaster, KY

Investment Advisers Initially Registered in December 2014

No new Registered IA's for this period

Investment Advisers Initially Making Notice Filing in December 2014

Brookmont Capital Management (CRD# 145475)
Dallas, TX

Keystone Capital Corporation (CRD# 10722)
San Diego, CA

Pictet North America Advisors SA (CRD# 142512)
Geneva 73, 1211, Switzerland,

Templeton Investment Counsel, LLC (CRD# 111370)
Ft. Lauderdale, FL

Virtue Capital Management, LLC (CRD# 167816)
Nashville, TN

William Blair Investment Management, LLC (CRD# 173961)
Chicago, IL

Wisebanyan, Inc. (CRD# 150953)
Las Vegas, NV

Zega Financial, LLC (CRD# 156803)
West Palm Beach, FL