

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: May 15, 2015
Re: EXAMINATION REPORT

Attached hereto please find the report of the on-site examinations for the months ended March 31, 2015 and April 30, 2015.

Examinations Division
For The Period
March 1, 2015 to April 30, 2015

On-Site Exams Started		BD	IA	Combined
Total Exams Started		0	4	4
On-Site Exams Completed		BD	IA	Combined
Started and Completed During The Current Period		0	0	0
Started In A Prior Period and Completed During The Current Period		0	3	3
Referred to Enforcement Division		0	1	1
Total Exams Completed		<u>0</u>	<u>4</u>	<u>4</u>
On-Site Exams Still Open		BD	IA	Combined
Started During The Current Period		0	4	4
Started During A Prior Period		7	9	16
Total Still Open		<u>7</u>	<u>13</u>	<u>20</u>
		BD	IA	Combined
% of registrants examined during current period		0%	0%	0%
% of registrants against whom final action was taken during current period		0%	1.06%	1.06%
% of registrants examined against whom final action was taken during current period		0%	0%	0%

NonBranch Sales Office Exam Questionnaires

Total Reviewed **0**

On-Site Exam Aging

Days	Still Open	Completed
0-30	3	0
31-60	1	0
61-90	1	0
Over 90	15	4
Totals	20	4

Examinations Division

For The Period
March 1, 2015 to April 30, 2015

4 On-Site Exams Started but not Completed During Period

IA/BD	Firm Name	Date Started
IA	L & M WEALTH MANAGEMENT AND RETIREMENT SOLUTIONS, LLC	3/3/2015
IA	LODESTAR ASSET MANAGEMENT LLC 121 NE 50TH OKLAHOMA CITY,	4/6/2015
IA	BARNETT INVESTMENTS INC. 121 NE 50TH BARTLESVILLE,	4/27/2015
IA	WESTON K. SOLOMON, CPA CFP P. O. Box 21563 OKLAHOMA CITY, OK	4/30/2015

4 On-Site Exams Completed During Period

IA/BD	Firm Name	Date Started	Date Completed
IA	FIRST INVESTMENT CORPORATION P.O. BOX 2246 BARTLESVILLE, OK	10/15/2013	3/23/2015
IA	WOMACK INVESTMENT ADVISERS, INC. * 2000 E. 15th Street, Building 100-B EDMOND, OK	3/19/2013	3/26/2015
IA	CHARTMARK INVESTMENTS, INC. Two Warren Place, Suite 125, 6120 South Yale Ave. TULSA, OK	10/8/2013	4/6/2015
IA	LIG CAPITAL MANAGEMENT, LLC 3555 N.W. 58TH, SUITE 625 OKLAHOMA CITY, OK	8/23/2013	4/28/2015

* Referred to Enforcement