



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:** 4/2/2015  
**Re:** FIRMS AND PROFESSIONALS REPORT

Attached is a report of the applications processed, as of March 31, 2015, for firms and professionals seeking to do business in Oklahoma.

Attachment

**Oklahoma Department of Securities**  
**Firms and Professionals Division**  
**March 2015**

	As of March 31, 2015
<b>Broker-Dealers</b>	
FINRA Broker-Dealers Registered	1,487
Non-FINRA Broker-Dealers Registered	1
Broker-Dealers - Pending Applications	8
<b>Total Broker-Dealers</b>	<b>1,496</b>
<b>Investment Adviser Firms</b>	
Registered Investment Adviser Firms	163
Registered Investment Adviser Firms - Pending Applications	7
<b>Total Registered and Pending IA Firms</b>	<b>170</b>
Notice-Listed Investment Adviser Firms	1,061
Notice-Listed Investment Adviser Firms - Pending Applications	1
<b>Total Notice-Listed IA Firms</b>	<b>1,062</b>
<b>Total Investment Adviser Firms</b>	<b>1,232</b>
<b>Investment Adviser Representatives</b>	
Registered Investment Adviser Reps.	4,701
Registered Investment Adviser Reps.- Pending Applications	8
<b>Total Investment Adviser Reps.</b>	<b>4,709</b>
<b>For the Month of March 2015</b>	
Broker-Dealers initially Registered in March 2015	9
Investment Advisers initially Registered in March 2015	1
Investment Advisers initially Notice-Listed in March 2015	27
FINRA Broker-Dealer Agents Registered as of March 31, 2015	110,638
FINRA Broker-Dealer Agents Registered as of February 28, 2015	109,403
FINRA Broker-Dealer Agents Registered as of March 31, 2014	105,777
FINRA Broker-Dealer Agents accepted through the CRD in March 2015	2,435
Issuer Agents registered as of March 31, 2015	105

**Broker-Dealers Initially Registered in March 2015**

**ARI Financial Services, Inc.** (CRD# 137608)  
Overland Park, KS

**ARK Global, LLC** (CRD# 172684)  
Wellesley Hills, MA

**Cais Capital LLC** (CRD# 154512)  
New York, NY

**Craft Capital Management LLC** (CRD# 171350)  
Garden City, NY

**Democracy Funding LLC** (CRD# 122804)  
Arlington, VA

**Forest Securities, Inc.** (CRD# 16255)  
Chicago, IL

**Huron Transaction Advisory LLC** (CRD# 166959)  
Chicago, IL

**Lighthouse Capital Group, LLC** (CRD# 169135)  
Pasadena, CA

**Tryco Securities, Inc.** (CRD# 104025)  
Plano, TX

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**Investment Advisers Initially Registered in March 2015**

**Dane Financial LLC** (CRD# 173232)  
Springfield, MO

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**Investment Advisers Initially Making Notice Filing in March 2015**

**Advisors Asset Management, Inc.** (CRD# 46727)  
Monument, CO

**Alpha Investment Management** (CRD# )  
Cincinnati, OH

**Appleton Partners, Inc.** (CRD# 110049)  
Boston, MA

**Arete Wealth Advisors, LLC** (CRD# 145488)  
Schaumburg, IL

**Azzad Asset Management, Inc.** (CRD# 111291)  
Falls Church, VA

**Beaird Harris** (CRD# 107238)  
Dallas, TX

**Berkshire Asset Management, LLC** (CRD# 145463)  
Wilkes-Barre, PA

**Birinyi Associates, inc.** (CRD# 107169)  
Westport, CT

**Constellation Wealth Advisors LLC** (CRD# 142502)  
New York, NY

**Convergence Investment Partners, LLC** (CRD# 148472)  
Leawood, KS

**Employer Retirement Investment Advisors, LLC** (CRD# 153254)  
De Pere, WI

**Formula Folio Investments** (CRD# 153467)  
Jenison, MI

**Fortigent, LLC** (CRD# 138164)  
Rockville, MD

**Kaltbaum Capital Management, LLC** (CRD# 123991)  
Orlando, FL

**Lyrical Asset Management LP** (CRD# 148267)  
New York, NY

**Orleans Capital Management Corp.** (CRD# 111359)  
Mandeville, LA

**Potomac Fund Management** (CRD# 105413)  
Easton, MD

**RVW Investing, LLC** (CRD# 140451)  
Los Angeles, CA

**Retirement Wealth Advisors, Inc.** (CRD# 137658)  
Jenison, MI

**Rice Hall James & Associates LLC** (CRD# 125410)  
San Diego, CA

**SFMG Wealth Advisors** (CRD# 107548)  
Plano, TX

**TMD & Associates, Inc.** (CRD# 113896)  
Phoenix, AZ

**Vontobel Swiss Wealth Advisors AG** (CRD# 154750)  
Zurich, CH-8022, Switzerland,

**Waterfront Wealth Inc.** (CRD# 173220)  
Overland Park, KS

**Wealth Enhancement Advisory Services, LLC** (CRD# 116407)  
Plymouth, MN

**Wealth Management LLC** (CRD# 137080)  
Norfolk, NE

**Woodley Farra** (CRD# 107660)  
Indianapolis, IN