

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: 6/1/2015
Re: FIRMS AND PROFESSIONALS REPORT

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

Attachment

Oklahoma Department of Securities
Firms and Professionals Division
May 2015

	As of May 31, 2015
Broker-Dealers	
FINRA Broker-Dealers Registered	1,489
Non-FINRA Broker-Dealers Registered	1
Broker-Dealers - Pending Applications	6
Total Broker-Dealers	1,496
Investment Adviser Firms	
Registered Investment Adviser Firms	165
Registered Investment Adviser Firms - Pending Applications	8
Total Registered and Pending IA Firms	173
Notice-Listed Investment Adviser Firms	1,053
Notice-Listed Investment Adviser Firms - Pending Applications	0
Total Notice-Listed IA Firms	1,053
Total Investment Adviser Firms	1,226
Investment Adviser Representatives	
Registered Investment Adviser Reps.	4,722
Registered Investment Adviser Reps.- Pending Applications	8
Total Investment Adviser Reps.	4,730
For the Month of May 2015	
Broker-Dealers initially Registered in May 2015	5
Investment Advisers initially Registered in May 2015	1
Investment Advisers initially Notice-Listed in May 2015	11
FINRA Broker-Dealer Agents Registered as of May 31, 2015	111,985
FINRA Broker-Dealer Agents Registered as of April 30, 2015	111,391
FINRA Broker-Dealer Agents Registered as of May 31, 2014	106,828
FINRA Broker-Dealer Agents accepted through the CRD in May 2015	1,934
Issuer Agents registered as of May 31, 2015	106

Broker-Dealers Initially Registered in May 2015

Artivist Brokerage LLIC (CRD# 168218)
New York, NY

Benefit Fundiang Services, LLC (CRD# 44079)
Woodland Hills, CA

CWS Investments (CRD# 23551)
Newport Beach, CA

Related Financial Services, LLC (CRD# 170005)
New York, NY

Riverstone Capital Services LLC (CRD# 172056)
New York, NY

Investment Advisers Initially Registered in May 2015

Lion Street Advisors, LLC (CRD# 167610)
Austin, TX

Investment Advisers Initially Making Notice Filing in May 2015

ASB Capital Management LLC (CRD# 110995)
Bethesda, MD

Davidson Investment Advisors, Inc. (CRD# 110552)
Great Falls, MT

Feex (CRD# 221522)
New York, NY

Guardia Wealth (CRD# 205512)
Edmond, OK

Honest Advisors, LLC (CRD# 175013)
Austin, TX

Mariner Retirement Advisors, LLC (CRD# 172372)
Leawood, KS

Resources Investment Advisors (CRD# 106766)
Leawood, KS

Reynders, McVeigh Capital Management, LLC (CRD# 137342)
Boston, MA

Society of Grownups, LLC (CRD# 171855)
Springfield, MA

Warwick Energy Investment Group, LLC (CRD# 226670)
Oklahoma City, OK

Wealth Financial Advisory Services, LLC (CRD# 158023)
Buffalo Grove, IL