

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 13, 2016

Re: EXAMINATION REPORT

Attached hereto please find the report of the on-site examinations for the months ended March 31, 2016 and April 30, 2016.

Examinations Division
For The Period
March 1, 2016 to April 30, 2016

On-Site Exams Started		BD	IA	Combined
Total Exams Started		0	2	2
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	0	0
Total Exams Completed		<u>0</u>	<u>3</u>	<u>3</u>
On-Site Exams Still Open		BD	IA	Combined
Started During The Current Period		0	2	2
Started During A Prior Period		4	10	14
Total Still Open		<u>4</u>	<u>12</u>	<u>16</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%	1.02%	1.02%
% 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	2	0
31-60	0	0
61-90	2	0
Over 90	12	3
Totals	16	3

Examinations Division
For The Period
March 1, 2016 to April 30, 2016

2 On-Site Exams Started but not Completed During Period

IA/BD	Firm Name	Date Started
IA	G. DEWAYNE MCANALLY 7290 Cherokee Plaza, Suite 200 OKLAHOMA CITY, OK	4/5/2016
IA	BERTRAND WEALTH STRATEGIES, L.L.C. 8421 S I-35 SERVICE ROAD OKLAHOMA CITY, OK	4/29/2016

3 On-Site Exams Completed During Period

IA/BD	Firm Name	Date Started	Date Completed
IA	L & M WEALTH MANAGEMENT AND RETIREMENT SOLUTIONS, LLC 8421 S I-35 SERVICE ROAD	3/3/2015	3/4/2016
IA	HUGHES WARREN, INC. 3501 W. 63RD, SUITE 405 OKLAHOMA CITY, OK	8/26/2015	4/14/2016
IA	THE MUTUAL FUND STORE 3531 W. MEMORIAL DRIVE OKLAHOMA CITY, OK	7/6/2015	4/28/2016

* Referred to Enforcement