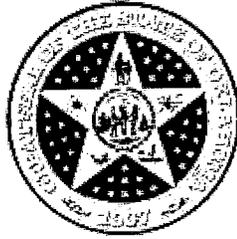


IRVING L. FAUGHT
ADMINISTRATOR



MARY FALLIN
GOVERNOR

STATE OF OKLAHOMA
DEPARTMENT OF SECURITIES

MEMORANDUM

To: Irving L. Faught, Administrator
From: Carol Gruis, Director of Examinations
Date: 9/4/2012
Re: FIRMS AND PROFESSIONALS REPORT

Attached is a report of the applications processed, as of August 31, 2012, for firms and professionals seeking to do business in Oklahoma.

Attachment

Oklahoma Department of Securities
Firms and Professionals Division
August 2012

As of
August 31, 2012

Broker-Dealers

FINRA Broker-Dealers Registered	1,555	
Non-FINRA Broker-Dealers Registered	1	
Broker-Dealers - Pending Applications	13	
Total Broker-Dealers		1,569

Investment Adviser Firms

Registered Investment Adviser Firms	155	
Registered Investment Adviser Firms - Pending Applications	5	
Total Registered and Pending IA Firms		160
Notice-Listed Investment Adviser Firms	966	
Notice-Listed Investment Adviser Firms - Pending Applications	1	
Total Notice-Listed IA Firms		967
Total Investment Adviser Firms		1,127

Investment Adviser Representatives

Registered Investment Adviser Reps.	4,607	
Registered Investment Adviser Reps.- Pending Applications	8	
Total Investment Adviser Reps.		4,615

For the Month of August 2012

Broker-Dealers initially Registered in August 2012		12
Investment Advisers initially Registered in August 2012		3
Investment Advisers initially Notice-Listed in August 2012		7
FINRA Broker-Dealer Agents Registered as of August 31, 2012		101,647
FINRA Broker-Dealer Agents Registered as of July 31, 2012		101,101
FINRA Broker-Dealer Agents Registered as of August 31, 2011		99,906
FINRA Broker-Dealer Agents accepted through the CRD in August 2012		1,851
Issuer Agents registered as of August 31, 2012		117

Broker-Dealers Initially Registered in August 2012

Apple Lane Group LLC (CRD# 129331)
Lancaster, MA

Cabot Lodge Securities LLC (CRD# 159712)
New York, NY

Celadon Financial Group LLC (CRD# 36538)
Chatham, NJ

Eagle Ledge Capital, LLC (CRD# 150804)
Clovis, CA

Livevol Securities, Inc. (CRD# 23670)
San Francisco, CA

M&A Securities Group, Inc. (CRD# 39999)
Kansas City, MO

MC Financial Services Ltd. (CRD# 23330)
New York, NY

Moody Capital Solutions, Inc. (CRD# 15989)
Dawsonville, GA

Phalanx Trading, LLC (CRD# 146993)
Topsfield, MA

Santander Securities LLC (CRD# 41791)
Guaynabo, PR

United Financial Group, Ltd. (CRD# 43250)
Garden City, NY

Wordentrade, Inc. (CRD# 155523)
Cumming, GA

Investment Advisers Initially Registered in August 2012

Bivin & Associates, Inc. (CRD# 111688)
Ponca City, OK

Harvard Advisors, L.L.C. (CRD# 161194)
Tulsa, OK

Sullivan Financial Strategies, LLC (CRD# 164474)
Broken Arrow, OK

Investment Advisers Initially Making Notice Filing in August 2012

Appropriate Balance Financial Services Inc. (CRD# 105458)
Bellevue, WA

Blackrock (Hong Kong) Limited (CRD# 164592)
Hong Kong, China,

First Investors Advisory Services, LLC (CRD# 164663)
New York, NY

Hirtle, Callaghan & Co., LLC (CRD# 105403)
West Conshohocken, PA

Santander Securities LLC (CRD# 41791)
Guaynabo, PR

Shareholder Financial Services, Inc. (CRD# 165117)
Centennial, CO

St. James Investment Company, LLC (CRD# 124777)
Dallas, TX