

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:** 10/2/2012  
**Re:** FIRMS AND PROFESSIONALS REPORT

Attached is a report of the applications processed, as of September 30, 2012, for firms and professionals seeking to do business in Oklahoma.

Attachment

**Oklahoma Department of Securities**  
**Firms and Professionals Division**  
**September 2012**

As of  
September 30, 2012

**Broker-Dealers**

FINRA Broker-Dealers Registered	1,552	
Non-FINRA Broker-Dealers Registered	1	
Broker-Dealers - Pending Applications	4	
<b>Total Broker-Dealers</b>		<b>1,557</b>

**Investment Adviser Firms**

Registered Investment Adviser Firms	154	
Registered Investment Adviser Firms - Pending Applications	5	
<b>Total Registered and Pending IA Firms</b>		<b>159</b>
Notice-Listed Investment Adviser Firms	967	
Notice-Listed Investment Adviser Firms - Pending Applications	1	
<b>Total Notice-Listed IA Firms</b>		<b>968</b>
<b>Total Investment Adviser Firms</b>		<b>1,127</b>

**Investment Adviser Representatives**

Registered Investment Adviser Reps.	4,609	
Registered Investment Adviser Reps.- Pending Applications	12	
<b>Total Investment Adviser Reps.</b>		<b>4,621</b>

**For the Month of September 2012**

Broker-Dealers initially Registered in September 2012		3
Investment Advisers initially Registered in September 2012		1
Investment Advisers initially Notice-Listed in September 2012		4
FINRA Broker-Dealer Agents Registered as of September 30, 2012		102,316
FINRA Broker-Dealer Agents Registered as of August 31, 2012		101,647
FINRA Broker-Dealer Agents Registered as of September 30, 2011		101,312
FINRA Broker-Dealer Agents accepted through the CRD in September 2012		1,855
Issuer Agents registered as of September 30, 2012		117

## **Broker-Dealers Initially Registered in September 2012**

**Benefit Finance Securities, LLC** (CRD# 45113)  
St. Louis, MO

**Blue Rock Global Partners, Inc.** (CRD# 136259)  
Wayzata, MN

**Corestone Distributors, LLC** (CRD# 155941)  
Radnor, PA

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## **Investment Advisers Initially Registered in September 2012**

**Cosner Financial Group, LLC** (CRD# 147942)  
Midland, TX

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## **Investment Advisers Initially Making Notice Filing in September 2012**

**Clearview Correspondent Services LLC** (CRD# 142785)  
Richmond, VA

**Gluskin Sheff + Associates Inc.** (CRD# 144928)  
Toronto, Ontario M5H 2R2, Canada

**Hunter McGuire Capital Management, L.L.C.** (CRD# 164549)  
Edmond, OK

**Sowell Management Services** (CRD# 127145)  
North Little Rock, AR