

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:** 2/4/2013  
**Re:** FIRMS AND PROFESSIONALS REPORT

Attached is a report of the applications processed, as of January 31, 2013, for firms and professionals seeking to do business in Oklahoma.

Attachment

**Oklahoma Department of Securities**  
**Firms and Professionals Division**  
**January 2013**

As of  
January 31, 2013

**Broker-Dealers**

FINRA Broker-Dealers Registered	1,510	
Non-FINRA Broker-Dealers Registered	1	
Broker-Dealers - Pending Applications	12	
		<b>Total Broker-Dealers 1,523</b>

**Investment Adviser Firms**

Registered Investment Adviser Firms	155	
Registered Investment Adviser Firms - Pending Applications	4	
		<b>Total Registered and Pending IA Firms 159</b>
Notice-Listed Investment Adviser Firms	935	
Notice-Listed Investment Adviser Firms - Pending Applications	0	
		<b>Total Notice-Listed IA Firms 935</b>
		<b>Total Investment Adviser Firms 1,094</b>

**Investment Adviser Representatives**

Registered Investment Adviser Reps.	4,550	
Registered Investment Adviser Reps.- Pending Applications	19	
		<b>Total Investment Adviser Reps. 4,569</b>

**For the Month of January 2013**

Broker-Dealers initially Registered in January 2013		11
Investment Advisers initially Registered in January 2013		3
Investment Advisers initially Notice-Listed in January 2013		10
FINRA Broker-Dealer Agents Registered as of January 31, 2013		99,791
FINRA Broker-Dealer Agents Registered as of December 31, 2012		96,808
FINRA Broker-Dealer Agents Registered as of January 31, 2012		98,343
FINRA Broker-Dealer Agents accepted through the CRD in January 2013		4,065
Issuer Agents registered as of January 31, 2013		107

## Broker-Dealers Initially Registered in January 2013

Avalon Wealth Management LLC (CRD# 162745)  
Houston, TX

Braymen, Lambert and Noel Securities, Ltd. (CRD# 124902)  
San Antonio, TX

CGIS Securities LLC (CRD# 155984)  
Miami, FL

Esposito Securities, LLC (CRD# 143710)  
Dallas, TX

Intl FCStone Securities Inc. (CRD# 45993)  
Winter Park, FL

KBR Capital Markets, LLC (CRD# 128800)  
Redwood City, CA

Lime Brokerage LLC (CRD# 104369)  
New York, NY

MDS Securities, LLC (CRD# 159555)  
Kittanning, PA

Peraza Capital and Investment, LLC (CRD# 117851)  
Saint Petersburg, FL

Point Capital Markets, LLC (CRD# 6906)  
Chatham, NJ

Southside Securities, Inc. (CRD# 153860)  
Tyler, TX

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## Investment Advisers Initially Registered in January 2013

Besthedge, Inc. (CRD# 158553)  
West Palm Beach, FL

Good Life Asset Strategies (CRD# 165613)  
Edmond, OK

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

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## Investment Advisers Initially Making Notice Filing in January 2013

Blackrock Asset Management North Asia Limited (CRD# 165482)  
Hong Kong, China, USA

BloombergBlack (CRD# 166284)  
New York, NY

Cambridge Legacy Advisors, Inc. (CRD# 119558)  
Dallas, TX

Cumberland Advisors (CRD# 107964)  
Sarasota, FL

Fuller & Thaler Asset Management Inc. (CRD# 107033)  
San Mateo, CA

Gradient Advisors, LLC (CRD# 152665)  
Shoreview, MN

Karsten Advisors (CRD# 158571)  
Fort Worth, TX

McDonnell Investment Management, LLC (CRD# 166176)  
Oak Brook, IL

Merriman (CRD# 166580)  
Seattle, WA

Timothy Partners, Ltd. (CRD# 41835)  
Maitland, FL