

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:** 9/3/2013  
**Re:** FIRMS AND PROFESSIONALS REPORT

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

Attachment

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

As of  
**August 31, 2013**

**Broker-Dealers**

FINRA Broker-Dealers Registered	1,531	
Non-FINRA Broker-Dealers Registered	1	
Broker-Dealers - Pending Applications	5	
<b>Total Broker-Dealers</b>		<b>1,537</b>

**Investment Adviser Firms**

Registered Investment Adviser Firms	157	
Registered Investment Adviser Firms - Pending Applications	4	
<b>Total Registered and Pending IA Firms</b>		<b>161</b>
Notice-Listed Investment Adviser Firms	987	
Notice-Listed Investment Adviser Firms - Pending Applications	2	
<b>Total Notice-Listed IA Firms</b>		<b>989</b>
<b>Total Investment Adviser Firms</b>		<b>1,150</b>

**Investment Adviser Representatives**

Registered Investment Adviser Reps.	4,681	
Registered Investment Adviser Reps. - Pending Applications	14	
<b>Total Investment Adviser Reps.</b>		<b>4,695</b>

**For the Month of August 2013**

Broker-Dealers initially Registered in August 2013		5
Investment Advisers initially Registered in August 2013		0
Investment Advisers initially Notice-Listed in August 2013		10
FINRA Broker-Dealer Agents Registered as of August 31, 2013		104,043
FINRA Broker-Dealer Agents Registered as of July 31, 2013		103,243
FINRA Broker-Dealer Agents Registered as of August 31, 2012		101,647
FINRA Broker-Dealer Agents accepted through the CRD in August 2013		2,041
Issuer Agents registered as of August 31, 2013		107

## Broker-Dealers Initially Registered in August 2013

Castleoak Securities, LP (CRD# 125334)  
New York, NY

Digital Offering LLC (CRD# 166401)  
New Port Beach, CA

E-Spectrum Advisors LLC (CRD# 158956)  
Dallas, TX

Lion Street Financial, LLC (CRD# 165828)  
Dallas, TX

Quest Securities, Inc. (CRD# 6828)  
Fair Oaks, CA

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## Investment Advisers Initially Registered in August 2013

No new Registered IA's for this period

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## Investment Advisers Initially Making Notice Filing in August 2013

Alpine Investment Management, LLC (CRD# 110933)  
St. Louis, MO

BFC Planning, Inc. (CRD# 119682)  
Marion, IA

Bear Creek Asset Management, LLC (CRD# 137677)  
Denver, CO

Cornerstone Wealth Management, LLC (CRD# 164666)  
St. Peters, MO

ERS, Inc. (CRD# 167052)  
Chicago, IL

FutureAdvisor (CRD# 154604)  
San Francisco, CA

IFS Advisory, LLC (CRD# 154680)  
Atlanta, GA

Investment Management of Virginia, LLC (CRD# 108687)  
Richmond, VA

PRS International Investment Advisory Service (CRD# 112224)  
Miami, FL

Tri-Star Financial (CRD# 148450)  
El Segundo, CA