

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: July 1, 2013
Re: EXAMINATION REPORT

Attached hereto please find the report of the on-site examinations for the months ended May 31, 2013 and June 30, 2013.

Examinations Division
For The Period
May 1, 2013 to June 30, 2013

On-Site Exams Started

	BD	IA	Combined
Total Exams Started	0	0	0

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	1	6	7
Referred to Enforcement Division	1	1	2
Total Exams Completed	2	7	9

On-Site Exams Still Open

	BD	IA	Combined
Started During The Current Period	0	0	0
Started During A Prior Period	3	23	26
Total Still Open	3	23	26

	BD	IA	Combined
% of registrants examined during current period	0%	0%	0%
% of registrants against whom final action was taken during current period	0.11%	2.26%	2.37%
% 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	0	0
31-60	0	1
61-90	2	1
Over 90	24	7
Totals	26	9

Examinations Division
For The Period
May 1, 2013 to June 30, 2013

0 On-Site Exams Started but not Completed During Period

IA/BD	Firm Name	Date Started
None		

9 On-Site Exams Completed During Period

IA/BD	Firm Name	Date Started	Date Completed
IA	D.M. WEALTH MANAGEMENT, INC. 3750 WEST MAIN STREET, SUITE AA NORMAN, OK	10/15/2012	5/2/2013
IA	WELLS, NELSON & ASSOCIATES, LLC 101 Park Avenue, Suite 101 Oklahoma City, OK	11/29/2011	5/2/2013
BD	PRIMEVEST FINANCIAL SERVICES, INC. 2101 SW 104TH OKLAHOMA CITY, OK	10/11/2012	5/14/2013
BD	MORGAN STANLEY DEAN WITTER * 2828 W. UNIVERSITY BLVD., SUITE 118 DURANT, OK	1/25/2013	5/17/2013
IA	BOSTON STREET ADVISORS, INC. * 20 E. 5TH STREET, SUITE 1200 G TULSA, OK	3/12/2013	5/20/2013
IA	CYPRESS POINT CAPITAL, LLC 10934 SOUTH HUDSON AVENUE TULSA, OK	3/29/2013	5/21/2013
IA	COMPASS CAPITAL MANAGEMENT, LLC P.O. BOX 787 MCALESTER, OK	12/18/2012	5/29/2013
IA	ATHENA RETIREMENT ADVISORS, LLC 1111 W. WILLOW, SUITE 102 DUNCAN, OK	11/29/2012	6/14/2013
IA	MELIA WEALTH ADVISORY GROUP LLC 5424 S. MEMORIAL DRIVE, BLDG. E TULSA, OK	11/29/2012	6/14/2013

* Referred to Enforcement