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: 7/2/2013

Re: FIRMS AND PROFESSIONALS REPORT

Attached is a report of the applications processed, as of June 30, 2013, for firms and professionals seeking to do business in Oklahoma.

Attachment

Oklahoma Department of Securities

Firms and Professionals Division
June 2013

		As of June 30, 2013
Broker-Dealers		
FINRA Broker-Dealers Registered	1,535	
Non-FINRA Broker-Dealers Registered	1	
Broker-Dealers - Pending Applications	7	
	Total Broker-Dealers	**1,543**
Investment Adviser Firms		
Registered Investment Adviser Firms	156	
Registered Investment Adviser Firms - Pending Applications	4	
	Total Registered and Pending IA Firms	**160**
Notice-Listed Investment Adviser Firms	980	
Notice-Listed Investment Adviser Firms - Pending Applications	0	
	Total Notice-Listed IA Firms	**980**
	Total Investment Adviser Firms	**1,140**
Investment Adviser Representatives		
Registered Investment Adviser Reps.	4,643	
Registered Investment Adviser Reps.- Pending Applications	4	
	Total Investment Adviser Reps.	**4,647**

For the Month of June 2013

Broker-Dealers initially Registered in June 2013	**5**
Investment Advisers initially Registered in June 2013	**0**
Investment Advisers initially Notice-Listed in June 2013	**6**
FINRA Broker-Dealer Agents Registered as of June 30, 2013	**102,564**
FINRA Broker-Dealer Agents Registered as of May 31, 2013	**102,031**
FINRA Broker-Dealer Agents Registered as of June 30, 2012	**100,879**
FINRA Broker-Dealer Agents accepted through the CRD in June 2013	**1,663**
Issuer Agents registered as of June 30, 2013	**107**

Broker-Dealers Initially Registered in June 2013

Gordian Investment Solutions, LLC (CRD# 158611)
San Francisco, CA

Mainsail Group LLC (CRD# 123030)
New York, NY

McDermott Investment Services, LLC (CRD# 154926)
Bethlehem, PA

Somerset Securities, Inc. (CRD# 2493)
South Easton, MA

Spearhead Capital, LLC (CRD# 145560)
Wellington, FL

Investment Advisers Initially Registered in June 2013

No new Registered IA's for this period

Investment Advisers Initially Making Notice Filing in June 2013

Corecap Advisors (CRD# 158819)
Southfield, MI

EP Wealth Advisors (CRD# 111147)
Torrance, CA

Fintegra, LLC (CRD# 16741)
Minneapolis, MN

Smith Anglin Financial, LLC (CRD# 144386)
Dallas, TX

Sofi Advisors LLC (CRD# 167958)
San Francisco, CA

Warburton Capital Management, LLC (CRD# 141969)
Tulsa, OK