

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:** 1/2/2014  
**Re:** FIRMS AND PROFESSIONALS REPORT

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

Attachment

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

As of  
December 31, 2013

**Broker-Dealers**

FINRA Broker-Dealers Registered	1,512	
Non-FINRA Broker-Dealers Registered	1	
Broker-Dealers - Pending Applications	1	
<b>Total Broker-Dealers</b>		<b>1,514</b>

**Investment Adviser Firms**

Registered Investment Adviser Firms	159	
Registered Investment Adviser Firms - Pending Applications	3	
<b>Total Registered and Pending IA Firms</b>		<b>162</b>
Notice-Listed Investment Adviser Firms	1,008	
Notice-Listed Investment Adviser Firms - Pending Applications	3	
<b>Total Notice-Listed IA Firms</b>		<b>1,011</b>
<b>Total Investment Adviser Firms</b>		<b>1,173</b>

**Investment Adviser Representatives**

Registered Investment Adviser Reps.	4,560	
Registered Investment Adviser Reps.- Pending Applications	4	
<b>Total Investment Adviser Reps.</b>		<b>4,564</b>

**For the Month of December 2013**

Broker-Dealers initially Registered in December 2013		2
Investment Advisers initially Registered in December 2013		2
Investment Advisers initially Notice-Listed in December 2013		8
FINRA Broker-Dealer Agents Registered as of December 31, 2013		101,124
FINRA Broker-Dealer Agents Registered as of November 30, 2013		106,165
FINRA Broker-Dealer Agents Registered as of December 31, 2012		96,808
FINRA Broker-Dealer Agents accepted through the CRD in December 2013		1,253
Issuer Agents registered as of December 31, 2013		105

## Broker-Dealers Initially Registered in December 2013

Highland Capital Funds Distributor, Inc. (CRD# 165013)  
Dallas, TX

Waypoint Securities, LLC (CRD# 158622)  
Barrington, IL

---

## Investment Advisers Initially Registered in December 2013

PLE Capital Management, LLC (CRD# 164283)  
Deerfield, IL

Wealth Financial Advisory Services, LLC (CRD# 158023)  
Buffalo Grove, IL

---

## Investment Advisers Initially Making Notice Filing in December 2013

BGM Trunorth Wealth Partners, LLC (CRD# 110483)  
Bloomington, MN

Baron Capital Management, Inc. (CRD# 110791)  
New York, NY

Cadence Capital Management, LLC (CRD# 169704)  
Tulsa, OK

Capital Guardian Asset Management, LLC (CRD# 169153)  
New York, NY

Cary Street Partners (CRD# 128545)  
Richmond, VA

City Securities Corporation (CRD# 1459)  
Indianapolis, IN

Financial West Group (CRD# 16668)  
Westlake Village, CA

Lion Street Advisors, LLC (CRD# 167610)  
Dallas, TX