

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: September 11, 2014
Re: EXAMINATION REPORT

Attached hereto please find the report of the on-site examinations for the months ended July 31, 2014 and August 31, 2014.

Examinations Division

For The Period

July 1, 2014 to August 31, 2014

On-Site Exams Started	BD	IA	Combined
Total Exams Started	0	4	4

On-Site Exams Completed	BD	IA	Combined
Started and Completed During The Current Period	0	1	1
Started In A Prior Period and Completed During The Current Period	3	9	12
Referred to Enforcement Division	0	0	0
Total Exams Completed	3	11	14

On-Site Exams Still Open	BD	IA	Combined
Started During The Current Period	0	3	3
Started During A Prior Period	2	11	13
Total Still Open	2	14	16

	BD	IA	Combined
% of registrants examined during current period	0%	0.36%	0.36%
% of registrants against whom final action was taken during current period	0.05%	1.44%	1.49%
% of registrants examined against whom final action was taken during current period	0%	400%	400%

NonBranch Sales Office Exam Questionnaires

Total Reviewed	2
----------------	---

On-Site Exam Aging

Days	Still Open	Completed
0-30	3	1
31-60	0	3
61-90	0	0
Over 90	13	10
Totals	16	14

Examinations Division

For The Period

July 1, 2014 to August 31, 2014

3 On-Site Exams Started but not Completed During Period

IA/BD	Firm Name	Date Started
IA	RKM INVESTMENTS, INC. 2 East 11th Street, Suite 203 EDMOND, OK	8/6/2014
IA	MORSE CAPITAL MANAGEMENT, INC. 6950 South Utica Avenue TULSA, OK	8/11/2014
IA	COACHWISE FINANCIAL SOLUTIONS LLC 4500 S. GARNETT, SUITE 920 TULSA, OK	8/13/2014

14 On-Site Exams Completed During Period

IA/BD	Firm Name	Date Started	Date Completed
IA	PREMIER INVESTMENT ADVISORY SERVICE P. O. Box 1257 ADA, OK	5/12/2014	7/1/2014
BD	UBS PAINWEBBER INC. 2431 EAST 61ST STREET TULSA, OK	12/16/2013	7/1/2014
IA	SCOTTS BAY INVESTMENT ADVISORS 4101 N. LIONS PLACW BROKEN ARROW, OK	11/29/2012	7/1/2014
BD	CONCORDE INVESTMENT SERVICES 111 S. MAIN STREET NOBLE, OK	10/14/2013	7/9/2014
IA	BRAEVEST P. O. BOX 250 NOBLE, OK	10/14/2013	7/9/2014
IA	FALCON FINANCIAL OF OKLAHOMA, LLC 14809 CARLINGFORD WAY EDMOND, OK	1/9/2013	7/11/2014
IA	ASSET MANAGEMENT SOLUTIONS, LLC DBA ASSET PLANNING SOLUTIONS 1233 EAST 33RD EDMOND, OK	3/5/2014	7/16/2014
IA	ACCESS ADVISORY GROUP LLC 3621 NW 63RD OKLAHOMA CITY, OK	6/11/2014	7/22/2014
BD	CUNA BROKERAGE SERVICES, INC. 4500 S. 129TH ST. E AVE. TULSA, OK	4/3/2014	7/22/2014
IA	MERIT ADVISORS, INC. 11032 Quail Creek Road, Suite 105 OKLAHOMA CITY, OK	8/13/2013	7/22/2014
IA	MERIT ADVISORS, INC. 11032 Quail Creek Road, Suite 105 OKLAHOMA CITY, OK	7/24/2013	7/22/2014
IA	WILSHIRE-PENNINGTON GROUP, INC. P. O. BOX 20853 OKLAHOMA CITY, OK	10/24/2013	7/23/2014
IA	TRITON WEALTH ADVISORS, LLC 2575 KELLEY POINTE PARKWAY, SUITE 100 EDMOND, OK	6/23/2014	8/13/2014
IA	DON P. QUINT & ASSOCIATES 1924 South Utica, Suite 710 TULSA, OK	7/31/2014	8/28/2014

* Referred to Enforcement