

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 May 31, 2014 and June 30, 2014.

Examinations Division

For The Period

May 1, 2014 to June 30, 2014

On-Site Exams Started	BD	IA	Combined
Total Exams Started	0	3	3

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	2	3	5
Referred to Enforcement Division	0	0	0
Total Exams Completed	2	3	5

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

	BD	IA	Combined
% of registrants examined during current period	0%	0%	0%
% of registrants against whom final action was taken during current period	0%	0%	0%
% 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	0
61-90	1	0
Over 90	12	5
Totals	13	5

Examinations Division

For The Period

May 1, 2014 to June 30, 2014

0 On-Site Exams Started but not Completed During Period

IA/BD	Firm Name	Date Started
None		

5 On-Site Exams Completed During Period

IA/BD	Firm Name	Date Started	Date Completed
IA	SONORAN CAPITAL MANAGEMENT, LLC 10026A S. MINGO RD. TULSA, OK	9/30/2013	6/10/2014
BD	PURSHE KAPLAN STERLING INVESTMENTS 831 WEST MAIN STREET DUNCAN, OK	1/4/2013	6/17/2014
BD	PURSHE KAPLAN STERLING 501 E. FOURTH STREET BARTLESVILLE, OK	1/15/2013	6/17/2014
IA	COMBEST FINANCIAL SERVICES, INC. 831 W. MAIN DUNCAN, OK	1/3/2013	6/17/2014
IA	BIVIN & ASSOCIATES, INC. 412 S. 14TH PONCA CITY, OK	12/3/2013	6/27/2014

* Referred to Enforcement