

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:** 10/2/2014  
**Re:** FIRMS AND PROFESSIONALS REPORT

Attached is a report of the applications processed, as of September 30, 2014, for firms and professionals seeking to do business in Oklahoma.

Attachment

**Oklahoma Department of Securities**  
**Firms and Professionals Division**  
**September 2014**

As of  
September 30, 2014

**Broker-Dealers**

FINRA Broker-Dealers Registered	1,510	
Non-FINRA Broker-Dealers Registered	1	
Broker-Dealers - Pending Applications	5	
	<b>Total Broker-Dealers</b>	<b>1,516</b>

**Investment Adviser Firms**

Registered Investment Adviser Firms	154	
Registered Investment Adviser Firms - Pending Applications	4	
	<b>Total Registered and Pending IA Firms</b>	<b>158</b>
Notice-Listed Investment Adviser Firms	1,024	
Notice-Listed Investment Adviser Firms - Pending Applications	1	
	<b>Total Notice-Listed IA Firms</b>	<b>1,025</b>
	<b>Total Investment Adviser Firms</b>	<b>1,183</b>

**Investment Adviser Representatives**

Registered Investment Adviser Reps.	4,744	
Registered Investment Adviser Reps.- Pending Applications	7	
	<b>Total Investment Adviser Reps.</b>	<b>4,751</b>

**For the Month of September 2014**

Broker-Dealers initially Registered in September 2014		5
Investment Advisers initially Registered in September 2014		4
Investment Advisers initially Notice-Listed in September 2014		2
FINRA Broker-Dealer Agents Registered as of September 30, 2014		110,053
FINRA Broker-Dealer Agents Registered as of August 31, 2014		108,928
FINRA Broker-Dealer Agents Registered as of September 30, 2013		105,028
FINRA Broker-Dealer Agents accepted through the CRD in September 2014		2,652
Issuer Agents registered as of September 30, 2014		104

## Broker-Dealers Initially Registered in September 2014

Allegis Investment Services, LLC (CRD# 168557)  
Idaho Falls, ID

Emerson Equity LLC (CRD# 130032)  
San Mateo, CA

Investment Network, Inc. (CRD# 127724)  
Fairlawn, OH

Leigh Baldwin & Co., LLC (CRD# 38751)  
Cazenovia, NY

Pierpont Securities LLC (CRD# 150696)  
Stamford, CT

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## Investment Advisers Initially Registered in September 2014

Bradley & Company, LLC (CRD# 144903)  
San Francisco, CA

Guardian Financial, Inc. (CRD# 158153)  
Rogers, AR

Meliora Capital (CRD# 172367)  
Tulsa, OK

Stone Fox Capital Advisors, LLC (CRD# 156113)  
Broken Arrow, OK

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## Investment Advisers Initially Making Notice Filing in September 2014

Csenge Advisory Group, LLC (CRD# 131167)  
Clearwater, FL

Insight Securities, Inc. (CRD# 5611)  
Highland Park, IL