

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: 12/1/2014
Re: FIRMS AND PROFESSIONALS REPORT

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

Attachment

Oklahoma Department of Securities
Firms and Professionals Division
November 2014

As of
November 30, 2014

Broker-Dealers

FINRA Broker-Dealers Registered	1,500	
Non-FINRA Broker-Dealers Registered	1	
Broker-Dealers - Pending Applications	9	
Total Broker-Dealers		1,510

Investment Adviser Firms

Registered Investment Adviser Firms	156	
Registered Investment Adviser Firms - Pending Applications	8	
Total Registered and Pending IA Firms		164
Notice-Listed Investment Adviser Firms	1,029	
Notice-Listed Investment Adviser Firms - Pending Applications	2	
Total Notice-Listed IA Firms		1,031
Total Investment Adviser Firms		1,195

Investment Adviser Representatives

Registered Investment Adviser Reps.	4,793	
Registered Investment Adviser Reps.- Pending Applications	4	
Total Investment Adviser Reps.		4,797

For the Month of November 2014

Broker-Dealers initially Registered in November 2014		6
Investment Advisers initially Registered in November 2014		1
Investment Advisers initially Notice-Listed in November 2014		4
FINRA Broker-Dealer Agents Registered as of November 30, 2014		110,945
FINRA Broker-Dealer Agents Registered as of October 31, 2014		110,812
FINRA Broker-Dealer Agents Registered as of November 30, 2013		106,165
FINRA Broker-Dealer Agents accepted through the CRD in November 2014		1,526
Issuer Agents registered as of November 30, 2014		104

Broker-Dealers Initially Registered in November 2014

Arca Capital Investments, Inc. (CRD# 109819)
Miami, FL

Bridge Capital Associates, Inc. (CRD# 143475)
Lilburn, GA

Gagnon Securities, LLC (CRD# 103727)
New York, NY

Innovation Partners LLC (CRD# 146344)
Charlotte, NC

Nabsecurities, LLC (CRD# 47390)
New York, NY

Third Seven Capital LLC (CRD# 160209)
New York, NY

Investment Advisers Initially Registered in November 2014

Isadore Private Wealth, LLC (CRD# 172107)
Cedar, MI

Investment Advisers Initially Making Notice Filing in November 2014

CMG Capital Management Group, Inc. (CRD# 110750)
King of Prussia, PA

Poplar Forest Capital LLC (CRD# 145250)
Pasadena, CA

Schwab Wealth Investment Advisory, Inc. (CRD# 173455)
San Francisco, CA

Scottrade Investment Management (CRD# 169988)
Saint Louis, MO