

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: 3/3/2015
Re: FIRMS AND PROFESSIONALS REPORT

Attached is a report of the applications processed, as of February 28, 2015, for firms and professionals seeking to do business in Oklahoma.

Attachment

Oklahoma Department of Securities
Firms and Professionals Division
February 2015

As of
February 28, 2015

Broker-Dealers

FINRA Broker-Dealers Registered	1,483	
Non-FINRA Broker-Dealers Registered	1	
Broker-Dealers - Pending Applications	4	
		Total Broker-Dealers 1,488

Investment Adviser Firms

Registered Investment Adviser Firms	162	
Registered Investment Adviser Firms - Pending Applications	7	
		Total Registered and Pending IA Firms 169
Notice-Listed Investment Adviser Firms	1,037	
Notice-Listed Investment Adviser Firms - Pending Applications	0	
		Total Notice-Listed IA Firms 1,037
		Total Investment Adviser Firms 1,206

Investment Adviser Representatives

Registered Investment Adviser Reps.	4,697	
Registered Investment Adviser Reps. - Pending Applications	2	
		Total Investment Adviser Reps. 4,699

For the Month of February 2015

Broker-Dealers initially Registered in February 2015		7
Investment Advisers initially Registered in February 2015		5
Investment Advisers initially Notice-Listed in February 2015		9
FINRA Broker-Dealer Agents Registered as of February 28, 2015		109,403
FINRA Broker-Dealer Agents Registered as of January 31, 2015		108,546
FINRA Broker-Dealer Agents Registered as of February 28, 2014		105,036
FINRA Broker-Dealer Agents accepted through the CRD in February 2015		1,863
Issuer Agents registered as of February 28, 2015		105

Broker-Dealers Initially Registered in February 2015

Crossroads Capital Distributors, LLC (CRD# 171776)
Irvine, CA

Flashfunders Securities, LLC (CRD# 134742)
Sherman Oaks, CA

Fundamerica Securities (CRD# 156214)
Atlanta, GA

Millington Securities, Inc. (CRD# 147298)
Red Bank, NJ

Oakpoint Solutions, LLC (CRD# 171775)
Tampa, FL

Preferred Capital Securities, LLC (CRD# 169719)
Atlanta, GA

VFG Securities, Inc. (CRD# 15121)
Culver City, CA

Investment Advisers Initially Registered in February 2015

American Value Capital (CRD# 174345)
Oklahoma City, OK

B.B. Graham & Company, Inc. (CRD# 41533)
Orange, CA

Cowan Financial Services, LLC (CRD# 174442)
Norman, OK

Morales Wealth Management (CRD# 172510)
Tulsa, OK

Snider Advisors (CRD# 120943)
Irving, TX

Investment Advisers Initially Making Notice Filing in February 2015

Biltmore Wealth Management, LLC (CRD# 151365)
Scottsdale, AZ

CPF Texas (CRD# 122484)
Plano, TX

Covenant Multi-Family Offices, LLC (CRD# 152651)
San Antonio, TX

Financial Guidance Group, Inc. (CRD# 108799)
Palm Harbor, FL

Frontier Asset Management, LLC (CRD# 109910)
Sheridan, WY

Geneva Capital Management LLC (CRD# 105432)
Milwaukee, WI

John Hancock Personal Financial Services, LLC (CRD# 174433)
Boston, MA

Learnvest Planning Services, LLC (CRD# 162453)
New York, NY

Morgan Stanley AIP GP LP (CRD# 117050)
West Conshohocken, PA