

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: 7/1/2015
Re: FIRMS AND PROFESSIONALS REPORT

Attached is a report of the applications processed, as of June 30, 2015, for firms and professionals seeking to do business in Oklahoma.

Attachment

Oklahoma Department of Securities
Firms and Professionals Division
June 2015

	As of June 30, 2015
Broker-Dealers	
FINRA Broker-Dealers Registered	1,492
Non-FINRA Broker-Dealers Registered	1
Broker-Dealers - Pending Applications	6
Total Broker-Dealers	1,499
Investment Adviser Firms	
Registered Investment Adviser Firms	164
Registered Investment Adviser Firms - Pending Applications	8
Total Registered and Pending IA Firms	172
Notice-Listed Investment Adviser Firms	1,055
Notice-Listed Investment Adviser Firms - Pending Applications	1
Total Notice-Listed IA Firms	1,056
Total Investment Adviser Firms	1,228
Investment Adviser Representatives	
Registered Investment Adviser Reps.	4,737
Registered Investment Adviser Reps.- Pending Applications	3
Total Investment Adviser Reps.	4,740
For the Month of June 2015	
Broker-Dealers initially Registered in June 2015	6
Investment Advisers initially Registered in June 2015	1
Investment Advisers initially Notice-Listed in June 2015	4
FINRA Broker-Dealer Agents Registered as of June 30, 2015	112,754
FINRA Broker-Dealer Agents Registered as of May 31, 2015	111,985
FINRA Broker-Dealer Agents Registered as of June 30, 2014	107,565
FINRA Broker-Dealer Agents accepted through the CRD in June 2015	2,195
Issuer Agents registered as of June 30, 2015	104

Broker-Dealers Initially Registered in June 2015

Chertoff Capital, LLC (CRD# 145134)
Washington, DC

Foreside Securities, LLC (CRD# 172662)
Portland, ME

Mainstreet Capital Partners (CRD# 172660)
Westfield, NJ

Tigerrisk Capital Strategies LLC (CRD# 172729)
Stamford, CT

Triloma Securities, LLC (CRD# 173059)
Winter Park, FL

Wisebanyan Securities LLC (CRD# 172393)
New York, NY

Investment Advisers Initially Registered in June 2015

Alliance Investment Services, LLC (CRD# 174824)
Yukon, OK

Investment Advisers Initially Making Notice Filing in June 2015

AIG Asset Management (U.S.), LLC (CRD# 150088)
New York, NY

Family Investment Center, Inc. (CRD# 113799)
Saint Joseph, MO

IBillionaire (CRD# 264791)
New York, NY

Umpqua Investments, Inc. (CRD# 1254)
Portland, OR