

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 9, 2015

Re: EXAMINATION REPORT

Attached hereto please find the report of the on-site examinations for the months ended July 31, 2015 and August 31, 2015.

Examinations Division
For The Period
July 1, 2015 to August 31, 2015

On-Site Exams Started	BD	IA	Combined
Total Exams Started	0	4	4
On-Site Exams Completed	BD	IA	Combined
Started and Completed During The Current Period	0	1	1
Started In A Prior Period and Completed During The Current Period	1	1	2
Referred to Enforcement Division	0	0	0
Total Exams Completed	<u>1</u>	<u>2</u>	<u>3</u>
On-Site Exams Still Open	BD	IA	Combined
Started During The Current Period	0	3	3
Started During A Prior Period	6	13	19
Total Still Open	<u>6</u>	<u>16</u>	<u>22</u>
	BD	IA	Combined
% of registrants examined during current period	0%	0.35%	0.35%
% of registrants against whom final action was taken during current period	0%	0.35%	0.35%
% of registrants examined against whom final action was taken during current period	0%	100%	100%

NonBranch Sales Office Exam Questionnaires

Total Reviewed **0**

On-Site Exam Aging

Days	Still Open	Completed
0-30	2	0
31-60	1	1
61-90	2	0
Over 90	17	2
Totals	22	3

Examinations Division

For The Period
July 1, 2015 to August 31, 2015

3 On-Site Exams Started but not Completed During Period

IA/BD	Firm Name	Date Started
IA	THE MUTUAL FUND STORE 3531 W. MEMORIAL DRIVE OKLAHOMA CITY, OK	7/6/2015
IA	LONGBOW ASSET MANAGEMENT 401 S. BOSTON AVE. TULSA,	8/12/2015
IA	HUGHES WARREN, INC. 3501 W. 63RD, SUITE 405 OKLAHOMA CITY, OK	8/26/2015

3 On-Site Exams Completed During Period

IA/BD	Firm Name	Date Started	Date Completed
IA	ARCHAMBO FINANCIAL ADVISORS, INC. 302 S. OSAGE TULSA, OK	9/10/2013	8/3/2015
BD	LPL FINANCIAL 1400 W. MAIN ST. DURANT, OK	10/16/2014	8/19/2015
IA	FIRST STATE INVESTMENT ADVISORS, INC. 7136 S. YALE, SUITE 300 TULSA,	7/20/2015	8/27/2015

* Referred to Enforcement