

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: 8/4/2015
Re: FIRMS AND PROFESSIONALS REPORT

Attached is a report of the applications processed, as of July 31, 2015, for firms and professionals seeking to do business in Oklahoma.

Attachment

Oklahoma Department of Securities
Firms and Professionals Division
July 2015

	As of July 31, 2015
Broker-Dealers	
FINRA Broker-Dealers Registered	1,500
Non-FINRA Broker-Dealers Registered	1
Broker-Dealers - Pending Applications	10
Total Broker-Dealers	1,511
Investment Adviser Firms	
Registered Investment Adviser Firms	165
Registered Investment Adviser Firms - Pending Applications	10
Total Registered and Pending IA Firms	175
Notice-Listed Investment Adviser Firms	1,056
Notice-Listed Investment Adviser Firms - Pending Applications	1
Total Notice-Listed IA Firms	1,057
Total Investment Adviser Firms	1,232
Investment Adviser Representatives	
Registered Investment Adviser Reps.	4,747
Registered Investment Adviser Reps.- Pending Applications	6
Total Investment Adviser Reps.	4,753
For the Month of July 2015	
Broker-Dealers initially Registered in July 2015	10
Investment Advisers initially Registered in July 2015	1
Investment Advisers initially Notice-Listed in July 2015	2
FINRA Broker-Dealer Agents Registered as of July 31, 2015	113,598
FINRA Broker-Dealer Agents Registered as of June 30, 2015	112,754
FINRA Broker-Dealer Agents Registered as of July 31, 2014	108,331
FINRA Broker-Dealer Agents accepted through the CRD in July 2015	2,364
Issuer Agents registered as of July 31, 2015	104

Broker-Dealers Initially Registered in July 2015

Britannica Capital Partners, LLC (CRD# 164445)
New York, NY

Financial Telesis Inc. (CRD# 31012)
San Rafael, CA

IBN Financial Services, Inc. (CRD# 42360)
Liverpool, NY

LPS Partners Inc. (CRD# 155246)
New York, NY

Olden Lane Securities, LLC (CRD# 173847)
Princeton, NJ

Rothschild Lieberman LLC (CRD# 10030)
New York, NY

SMTX, LLC (CRD# 172583)
New York, NY

Tribal Capital Markets, LLC (CRD# 38901)
New York, NY

Veritas Independent Partners, LLC (CRD# 169291)
Conway, AR

Vontobel Distributors, LLC (CRD# 173734)
New York, NY

Investment Advisers Initially Registered in July 2015

Parman Financial Coaching, LLC (CRD# 214513)
Oklahoma City, OK

Investment Advisers Initially Making Notice Filing in July 2015

MMA Securities LLC (CRD# 44254)
New York, NY

Pensionmark Financial Group, LLC (CRD# 208512)
Santa Barbara, CA