

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:** 11/13/2015  
**Re:** FIRMS AND PROFESSIONALS REPORT

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

Attachment

**Oklahoma Department of Securities**  
**Firms and Professionals Division**  
**October 2015**

As of  
October 31, 2015

**Broker-Dealers**

FINRA Broker-Dealers Registered	1,504	
Non-FINRA Broker-Dealers Registered	1	
Broker-Dealers - Pending Applications	5	
<b>Total Broker-Dealers</b>		<b>1,510</b>

**Investment Adviser Firms**

Registered Investment Adviser Firms	167	
Registered Investment Adviser Firms - Pending Applications	4	
<b>Total Registered and Pending IA Firms</b>		<b>171</b>
Notice-Listed Investment Adviser Firms	1,066	
Notice-Listed Investment Adviser Firms - Pending Applications	0	
<b>Total Notice-Listed IA Firms</b>		<b>1,066</b>
<b>Total Investment Adviser Firms</b>		<b>1,237</b>

**Investment Adviser Representatives**

Registered Investment Adviser Reps.	4,806	
Registered Investment Adviser Reps.- Pending Applications	6	
<b>Total Investment Adviser Reps.</b>		<b>4,812</b>

**For the Month of October 2015**

Broker-Dealers initially Registered in October 2015		5
Investment Advisers initially Registered in October 2015		2
Investment Advisers initially Notice-Listed in October 2015		7
FINRA Broker-Dealer Agents Registered as of October 31, 2015		116,476
FINRA Broker-Dealer Agents Registered as of September 30, 2015		115,676
FINRA Broker-Dealer Agents Registered as of October 31, 2014		110,812
FINRA Broker-Dealer Agents accepted through the CRD in October 2015		2,244
Issuer Agents registered as of October 31, 2015		105

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## Broker-Dealers Initially Registered in October 2015

**Churchill Stateside Securities, LLC** (CRD# 154603)  
Atlanta, GA

**ICapital Securities, LLC** (CRD# 171061)  
New York, NY

**Painter, Smith and Amberg Inc.** (CRD# 10865)  
Redlands, CA

**Robertson Stephens Securities** (CRD# 167704)  
San Francisco, CA

**Thrivent Distributors, LLC** (CRD# 179512)  
Minneapolis, MN

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## Investment Advisers Initially Registered in October 2015

**Legacy Advisory Group, LLC** (CRD# 281527)  
Broken Arrow, OK

**Total Advisor Network, LLC** (CRD# 171616)  
Spokane, WA

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## Investment Advisers Initially Making Notice Filing in October 2015

**Bighorn Asset Management, LLC** (CRD# 226543)  
Vail, CO

**Commerce Brokerage Services, Inc.** (CRD# 17140)  
St. Louis, MO

**KCM Investment Advisors** (CRD# 109629)  
San Rafael, CA

**Sawtooth Solutions, LLC** (CRD# 175009)  
Minneapolis, MN

**Stashinvest** (CRD# 226550)  
New York, NY

**Strategic Wealth Advisors Group** (CRD# 140977)  
San Mateo, CA

**Townsend & Associates, Inc.** (CRD# 113681)  
Westminster, CO