

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:** 3/1/2016  
**Re:** FIRMS AND PROFESSIONALS REPORT

Attached is a report of the applications processed, as of February 29, 2016, for firms and professionals seeking to do business in Oklahoma.

Attachment

**Oklahoma Department of Securities**  
**Firms and Professionals Division**  
**February 2016**

As of  
February 29, 2016

**Broker-Dealers**

FINRA Broker-Dealers Registered	1,467	
Non-FINRA Broker-Dealers Registered	1	
Broker-Dealers - Pending Applications	3	
<b>Total Broker-Dealers</b>		<b>1,471</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	1,047	
Notice-Listed Investment Adviser Firms - Pending Applications	0	
<b>Total Notice-Listed IA Firms</b>		<b>1,047</b>
<b>Total Investment Adviser Firms</b>		<b>1,218</b>

**Investment Adviser Representatives**

Registered Investment Adviser Reps.	4,733	
Registered Investment Adviser Reps.- Pending Applications	1	
<b>Total Investment Adviser Reps.</b>		<b>4,734</b>

**For the Month of February 2016**

Broker-Dealers initially Registered in February 2016		4
Investment Advisers initially Registered in February 2016		1
Investment Advisers initially Notice-Listed in February 2016		4
FINRA Broker-Dealer Agents Registered as of February 29, 2016		115,553
FINRA Broker-Dealer Agents Registered as of January 31, 2016		114,496
FINRA Broker-Dealer Agents Registered as of February 29, 2015		109,403
FINRA Broker-Dealer Agents accepted through the CRD in February 2016		2,294
Issuer Agents registered as of February 29, 2016		95

## **Broker-Dealers Initially Registered in February 2016**

**Andrews Partners (CRD# 36402)**  
Denver, CO

**Citizens Capital Markets, Inc. (CRD# 277073)**  
Boston, MA

**Equatiex US Inc. (CRD# 178524)**  
New York, NY

**Grandfund Investment Group, LLC (CRD# 143253)**  
Alameda, CA

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## **Investment Advisers Initially Registered in February 2016**

**Tree Line Capital, LLC (CRD# 282456)**  
Edmond, OK

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## **Investment Advisers Initially Making Notice Filing in February 2016**

**BMO Nesbitt Burns Securities Ltd. (CRD# 281337)**  
Toronto, ON

**Financial Solutions, LLC (CRD# 110149)**  
Waukesha, WI

**Financial Soundings (CRD# 146082)**  
Alpharetta, GA

**Metis Wealth Management, LLC (CRD# 174406)**  
Littleton, CO