

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: 2/1/2016
Re: FIRMS AND PROFESSIONALS REPORT

Attached is a report of the applications processed, as of January 31, 2016, for firms and professionals seeking to do business in Oklahoma.

Attachment

Oklahoma Department of Securities
Firms and Professionals Division
January 2016

	As of January 31, 2016
Broker-Dealers	
FINRA Broker-Dealers Registered	1,484
Non-FINRA Broker-Dealers Registered	1
Broker-Dealers - Pending Applications	6
Total Broker-Dealers	1,491
Investment Adviser Firms	
Registered Investment Adviser Firms	166
Registered Investment Adviser Firms - Pending Applications	3
Total Registered and Pending IA Firms	169
Notice-Listed Investment Adviser Firms	1,043
Notice-Listed Investment Adviser Firms - Pending Applications	1
Total Notice-Listed IA Firms	1,044
Total Investment Adviser Firms	1,213
Investment Adviser Representatives	
Registered Investment Adviser Reps.	4,698
Registered Investment Adviser Reps.- Pending Applications	7
Total Investment Adviser Reps.	4,705
For the Month of January 2016	
Broker-Dealers initially Registered in January 2016	4
Investment Advisers initially Registered in January 2016	3
Investment Advisers initially Notice-Listed in January 2016	11
FINRA Broker-Dealer Agents Registered as of January 31, 2016	114,496
FINRA Broker-Dealer Agents Registered as of December 31, 2015	111,817
FINRA Broker-Dealer Agents Registered as of January 31, 2015	108,546
FINRA Broker-Dealer Agents accepted through the CRD in January 2016	3,807
Issuer Agents registered as of January 31, 2016	96

Broker-Dealers Initially Registered in January 2016

Arque Capital, Ltd. (CRD# 121192)
Scottsdale, AZ

B. Riley & Co., LLC (CRD# 40355)
Los Angeles, CA

Baker & Co., Incorporated (CRD# 5835)
Rocky River, OH

Young America Capital, LLC (CRD# 150443)
Mamaroneck, NY

Investment Advisers Initially Registered in January 2016

Beene Financial Planning (CRD# 281457)
Valliant, OK

Stone Fox Capital Advisors, LLC (CRD# 156113)
Broken Arrow, OK

Wealth Advisors, L.L.C. (CRD# 131248)
Tulsa, OK

Investment Advisers Initially Making Notice Filing in January 2016

AQS Asset Management, L.L.C. (CRD# 131544)
Austin, TX

Auour Advisory LLC (CRD# 173392)
Wenham, MA

Barber Financial Group (CRD# 152043)
Lenexa, KS

Bazis & Young Investment Group LLC (CRD# 148605)
Omaha, NE

Belpointe Asset Management LLC (CRD# 143440)
Greenwich, CT

Bloom, Inc. (CRD# 168604)
Leawood, KS

Capital Bank and Trust Company (CRD# 170017)
Irvine, CA

Crystal Capital Partners, LLC (CRD# 146010)
Bay Harbor Islands, FL

Douglas Lane & Associates, LLC (CRD# 282563)
New York, NY

Ellevest (CRD# 175476)
New York, NY

International Assets Investment Management, LLC (CRD# 144426)
Orlando, FL