

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 12, 2016
Re: EXAMINATION REPORT

Attached hereto please find the report of the on-site examinations for the months ended July 31, 2016 and August 31, 2016.

Examinations Division
For The Period
July 1, 2016 to August 31, 2016

On-Site Exams Started	BD	IA	Combined
Total Exams Started	0	6	6
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	0	1	1
Referred to Enforcement Division	0	0	0
Total Exams Completed	<u>0</u>	<u>2</u>	<u>2</u>
On-Site Exams Still Open	BD	IA	Combined
Started During The Current Period	0	5	5
Started During A Prior Period	3	13	16
Total Still Open	<u>3</u>	<u>18</u>	<u>21</u>
	BD	IA	Combined
% of registrants examined during current period	0%	0.34%	0.34%
% of registrants against whom final action was taken during current period	0%	0.34%	0.34%
% 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	3	0
31-60	2	1
61-90	0	0
Over 90	16	1
Totals	21	2

Examinations Division
For The Period
July 1, 2016 to August 31, 2016

5 On-Site Exams Started but not Completed During Period

IA/BD	Firm Name	Date Started
IA	STRONGHOLD WEALTH MANAGEMENT L.L.C. 7633 E. 63RD PLACE TULSA, OK	7/27/2016
IA	REGENT FINANCIAL SERVICES, INC. 6119 EAST 91ST STREET, SUITE 300 TULSA, OK	7/27/2016
IA	FINANCIAL DESTINY LLC 5127 E. 102ND PL. S TULSA, OK	8/2/2016
IA	GOOD LIFE ASSET STRATEGIES 424 NW 148TH TERRACE EDMOND, OK	8/3/2016
IA	JBR CO. - FINANCIAL MANAGEMENT, INC. P. O. BOX 306 ARDMORE, OK	8/25/2016

2 On-Site Exams Completed During Period

IA/BD	Firm Name	Date Started	Date Completed
IA	G. DEWAYNE MCANALLY 5909 NW EXPRESSWAY, SUITE 165 OKLAHOMA CITY, OK	4/5/2016	7/27/2016
IA	COMPASS CAPITAL MANAGEMENT, LLC P.O. BOX 787 MCALESTER, OK	7/12/2016	8/25/2016

* Referred to Enforcement