

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: 8/2/2016
Re: FIRMS AND PROFESSIONALS REPORT

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

Attachment

Oklahoma Department of Securities
 Firms and Professionals Division
 July 2016

	As of July 31, 2016
Broker-Dealers	
FINRA Broker-Dealers Registered	1,469
Non-FINRA Broker-Dealers Registered	1
Broker-Dealers - Pending Applications	5
Total Broker-Dealers	1,475
Investment Adviser Firms	
Registered Investment Adviser Firms	175
Registered Investment Adviser Firms - Pending Applications	6
Total Registered and Pending IA Firms	181
Notice-Listed Investment Adviser Firms	1,077
Notice-Listed Investment Adviser Firms - Pending Applications	0
Total Notice-Listed IA Firms	1,077
Total Investment Adviser Firms	1,258
Investment Adviser Representatives	
Registered Investment Adviser Reps.	4,813
Registered Investment Adviser Reps.- Pending Applications	2
Total Investment Adviser Reps.	4,815
For the Month of July 2016	
Broker-Dealers initially Registered in July 2016	5
Investment Advisers initially Registered in July 2016	3
Investment Advisers initially Notice-Listed in July 2016	4
FINRA Broker-Dealer Agents Registered as of July 31, 2016	117,468
FINRA Broker-Dealer Agents Registered as of June 30, 2016	117,391
FINRA Broker-Dealer Agents Registered as of July 31, 2015	113,598
FINRA Broker-Dealer Agents accepted through the CRD in July 2016	1,821
Issuer Agents registered as of July 31, 2016	96

Broker-Dealers Initially Registered in July 2016

Dogwood Securities LLC (CRD# 277033)
New York, NY

Electronic Transaction Clearing, Inc. (CRD# 146122)
Los Angeles, CA

S2K Financial LLC (CRD# 248786)
New York, NY

Standard Life Investments (CRD# 157233)
Boston, MA

W.R. Hambrecht + Co., LLC (CRD# 45040)
San Francisco, CA

Investment Advisers Initially Registered in July 2016

Forte Wealth Consulting LLC (CRD# 283407)
Oklahoma City, OK

MoneyBlock (CRD# 128605)
Chicago, IL

Stagner Financial Advisory Group, LLC (CRD# 284305)
Tulsa, OK

Investment Advisers Initially Making Notice Filing in July 2016

Fusion Capital Management (CRD# 156549)
Coppell, TX

Rock Hill Capital (CRD# 163129)
Houston, TX

Southwestern Investment Advisory Services, Inc. (CRD# 283515)
Franklin, TN

Sterne Agee Investment Advisor Services, Inc. (CRD# 174182)
Birmingham, AL