

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:** 5/2/2016  
**Re:** FIRMS AND PROFESSIONALS REPORT

Attached is a report of the applications processed, as of April 30, 2016, for firms and professionals seeking to do business in Oklahoma.

Attachment

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

	As of April 30, 2016
<b>Broker-Dealers</b>	
FINRA Broker-Dealers Registered	1,473
Non-FINRA Broker-Dealers Registered	1
Broker-Dealers - Pending Applications	7
<b>Total Broker-Dealers</b>	<b>1,481</b>
<b>Investment Adviser Firms</b>	
Registered Investment Adviser Firms	169
Registered Investment Adviser Firms - Pending Applications	7
<b>Total Registered and Pending IA Firms</b>	<b>176</b>
Notice-Listed Investment Adviser Firms	1,070
Notice-Listed Investment Adviser Firms - Pending Applications	1
<b>Total Notice-Listed IA Firms</b>	<b>1,071</b>
<b>Total Investment Adviser Firms</b>	<b>1,247</b>
<b>Investment Adviser Representatives</b>	
Registered Investment Adviser Reps.	4,750
Registered Investment Adviser Reps.- Pending Applications	8
<b>Total Investment Adviser Reps.</b>	<b>4,758</b>

**For the Month of April 2016**

Broker-Dealers initially Registered in April 2016	9
Investment Advisers initially Registered in April 2016	1
Investment Advisers initially Notice-Listed in April 2016	4
FINRA Broker-Dealer Agents Registered as of April 30, 2016	116,612
FINRA Broker-Dealer Agents Registered as of March 31, 2016	116,060
FINRA Broker-Dealer Agents Registered as of April 30, 2015	111,391
FINRA Broker-Dealer Agents accepted through the CRD in April 2016	2,113
Issuer Agents registered as of April 30, 2016	95

### Broker-Dealers Initially Registered in April 2016

Cova Capital Partners LLC (CRD# 109761)  
Glen Head, NY

CVC Credit Partners 712, LLC (CRD# 277056)  
New York, NY

EF Legacy Securities, LLC (CRD# 269923)  
Henrico, VA

Gulfstar Group I, Ltd. (CRD# 28922)  
Houston, TX

Hamilton Lane Securities LLC (CRD# 281510)  
Bala Cynwyd, PA

Nathan Hale Capital, LLC (CRD# 123650)  
Charlotte, NC

PTX Securities, LLC (CRD# 7735)  
Plano, TX

Revere Securities LLC (CRD# 14178)  
New York, NY

TJM Investments, LLC (CRD# 46300)  
Chicago, IL

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### Investment Advisers Initially Registered in April 2016

Infinity Financial Services (CRD# 144302)  
Oakland, CA

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### Investment Advisers Initially Making Notice Filing in April 2016

AE Wealth Management, LLC (CRD# 282580)  
Topeka, KS

Burrus (CRD# 141435)  
Salt Lake City, UT

Lendingrobot (CRD# 170515)  
Redmond, WA

Liberty Group, LLC (CRD# 106036)  
Oakland, CA