

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: 4/4/2016
Re: FIRMS AND PROFESSIONALS REPORT

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

Attachment

Oklahoma Department of Securities
Firms and Professionals Division
March 2016

	As of March 31, 2016
Broker-Dealers	
FINRA Broker-Dealers Registered	1,468
Non-FINRA Broker-Dealers Registered	1
Broker-Dealers - Pending Applications	5
Total Broker-Dealers	1,474
Investment Adviser Firms	
Registered Investment Adviser Firms	168
Registered Investment Adviser Firms - Pending Applications	5
Total Registered and Pending IA Firms	173
Notice-Listed Investment Adviser Firms	1,069
Notice-Listed Investment Adviser Firms - Pending Applications	0
Total Notice-Listed IA Firms	1,069
Total Investment Adviser Firms	1,242
Investment Adviser Representatives	
Registered Investment Adviser Reps.	4,742
Registered Investment Adviser Reps.- Pending Applications	6
Total Investment Adviser Reps.	4,748

For the Month of March 2016

Broker-Dealers initially Registered in March 2016	7
Investment Advisers initially Registered in March 2016	1
Investment Advisers initially Notice-Listed in March 2016	22
FINRA Broker-Dealer Agents Registered as of March 31, 2016	116,060
FINRA Broker-Dealer Agents Registered as of February 29, 2016	115,553
FINRA Broker-Dealer Agents Registered as of March 31, 2015	110,638
FINRA Broker-Dealer Agents accepted through the CRD in March 2016	1,955
Issuer Agents registered as of March 31, 2016	95

Broker-Dealers Initially Registered in March 2016

M1 Finance LLC (CRD# 281242)
Chicago, IL

Midwestern Securities Trading Company, LLC (CRD# 101080)
East Peoria, IL

Spearhead Capital, LLC (CRD# 145560)
Wellington, FL

Third Party Trade LLC (CRD# 144076)
Litton, CO

Tritower Real Estate Capital, LLC (CRD# 281740)
Boston, MA

TSSP BD, LLC (CRD# 281933)
Fort Worth, TX

Zanbato Securities LLC (CRD# 279028)
Los Altos, CA

Investment Advisers Initially Registered in March 2016

Provision Asset, LLC (CRD# 282183)
Little Elm, TX

Investment Advisers Initially Making Notice Filing in March 2016

Atlasmark Financial, Inc. (CRD# 152635)
Austin, TX

Bogdahn Group (CRD# 111964)
Orlando, FL

Cherry Advisors (CRD# 149347)
Dallas, TX

Claraphi Advisory Netowrk, LLC (CRD# 165868)
Laguna Hills, CA

Client One Securities, LLC (CRD# 152974)
Leawood, KS

Covington Capital Management (CRD# 132161)
Los Angeles, CA

Crow Holdings Capital (CRD# 156925)
Dallas, TX

Dodge & Cox (CRD# 104596)
San Francisco, CA

Great-West Capital Management, LLC (CRD# 107272)
Greenwood Village, CO

Intrua Financial LLC (CRD# 281554)
Houston, TX

J.P. Morgan Private Investments Inc. (CRD# 110186)
New York, NY

Lion Street Advisors, LLC (CRD# 167610)
Austin, TX

Manulife Asset Management (US) LLC (CRD# 106435)
Boston, MA

Ohio National Investments Inc. (CRD# 107528)
Montgomery, OH

RGT Wealth Advisors (CRD# 104953)
Dallas, TX

Savant Capital Management (CRD# 107271)
Rockford, IL

Shelton Capital Management (CRD# 104720)
Denver, CO

Sonora Investment Management LLC (CRD# 106538)
Tucson, AZ

Straightline (CRD# 127401)
Troy, MI

Uniplan Investment Counsel, Inc. (CRD# 154718)
Union Grove, WI

Uniplan Real Estate Advisors, Inc. (CRD# 105949)
Union Grove, WI

Worthpointe, LLC (CRD# 143996)
Austin, TX