

IRVING L. FAUGHT
ADMINISTRATOR



BRAD HENRY
GOVERNOR

STATE OF OKLAHOMA
DEPARTMENT OF SECURITIES

MEMORANDUM

To: *Irving L. Faught, Administrator*

From: *John K. Ulrey, Director of Licensing*

Date: *September 6, 2006*

Re: *LICENSING REPORT*

Attached is the report of the licensing activities of the Department as of August 31, 2006.

Attachment

**Oklahoma Department of Securities
Licensing Section
August 2006**

	As of August 31, 2006
Broker-Dealers	
NASD Broker-Dealers Registered	1,654
Non-NASD Broker-Dealers Registered	3
Broker-Dealers - Pending Applications	2
Total Broker-Dealers	1,659
Investment Adviser Firms	
Registered Investment Adviser Firms	150
Registered Investment Adviser Firms - Pending Applications	4
Total Registered and Pending IA Firms	154
Notice-Listed Investment Adviser Firms	864
Notice-Listed Investment Adviser Firms - Pending Applications	2
Total Notice-Listed IA Firms	866
Total Investment Adviser Firms	1,020
Investment Adviser Representatives	
Registered Investment Adviser Reps.	6,253
Registered Investment Adviser Reps.- Pending Applications	37
Total Investment Adviser Reps.	6,290

For the Month of August 2006

Broker-Dealers initially Registered in August 2006	8
Investment Advisers initially Registered in August 2006	1
Investment Advisers initially Notice-Listed in August 2006	8
NASD Broker-Dealer Agents Registered as of August 31, 2006	76,633
NASD Broker-Dealer Agents Registered as of July 31, 2006	75,805
NASD Broker-Dealer Agents Registered as of August 31, 2005	72,187
NASD Broker-Dealer Agents accepted through the CRD in August 2006	2,162
Issuer Agents registered as of August 31, 2006	153

Broker-Dealers Initially Registered in August 2006

Automated Trading Desk Financial Services, LLC
Mt. Pleasant, SC

Henderson Global Investors Equity Planning, Inc.
Chicago, IL

JRL Capital Corporation
New York, NY

Marwood Alternative Asset Management LLC
New York, NY

Perella Weinberg Partners LP
New York, NY

Private Placement Insurance Products, LLC
Ojai, CA

Shelbourne Securities, LLC
Westford, MA

Superfund Asset Management Inc.
Chicago, IL

Investment Advisers Initially Registered in August 2006

Integrity Southwest LLC
Delaware, OK

Investment Advisers Initially Making Notice Filing in August 2006

Cadaret, Grant & Co., Inc.
Syracuse, NY

Horan Capital Management, LLC
Towson, MD

Ironwood Investment Management, LLC
Boston, MA

Phillips Capital Advisors, Inc.
Oklahoma City, OK

Reinhart & Mahoney Capital Management, Inc.
Mequon, WI

Rollovermarket
Charlotte, NC

Seaward Management Corp.
Boston, MA

Winslow Capital Management Inc.
Minneapolis, MN