

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: *August 9, 2006*

Re: *LICENSING REPORT*

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

Attachment

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

		As of July 31, 2006
Broker-Dealers		
NASD Broker-Dealers Registered	1,652	
Non-NASD Broker-Dealers Registered	3	
Broker-Dealers - Pending Applications	6	
Total Broker-Dealers		1,661
Investment Adviser Firms		
Registered Investment Adviser Firms	149	
Registered Investment Adviser Firms - Pending Applications	2	
Total Registered and Pending IA Firms		151
Notice-Listed Investment Adviser Firms	859	
Notice-Listed Investment Adviser Firms - Pending Applications	3	
Total Notice-Listed IA Firms		862
Total Investment Adviser Firms		1,013
Investment Adviser Representatives		
Registered Investment Adviser Reps.	6,238	
Registered Investment Adviser Reps.- Pending Applications	31	
Total Investment Adviser Reps.		6,269

For the Month of July 2006

Broker-Dealers initially Registered in July 2006	8
Investment Advisers initially Registered in July 2006	1
Investment Advisers initially Notice-Listed in July 2006	9
NASD Broker-Dealer Agents Registered as of July 31, 2006	75,805
NASD Broker-Dealer Agents Registered as of June 30, 2006	75,012
NASD Broker-Dealer Agents Registered as of July 31, 2005	71,671
NASD Broker-Dealer Agents accepted through the CRD in July 2006	2,199
Issuer Agents registered as of July 31, 2006	159

Broker-Dealers Initially Registered in July 2006

AIG Financial Securities Corp.
Wilton, CT

Alaron Financial Services
Chicago, IL

Chadbourn Securities, Inc.
Jacksonville, FL

Crocker Securities LLC
Walnut Creek, CA

Golden Beneficial Securities Corporation
Houston, TX

Kotak Mahindra, Inc.
White Plains, NY

Liberty Partners Financial Services, LLC
Bakersfield, CA

Riversource Distributors, Inc.
Minneapolis, MN

Investment Advisers Initially Registered in July 2006

Capwest Securities, Inc.
Lakewood, CO

Investment Advisers Initially Making Notice Filing in July 2006

Credit Suisse International Investment Advisors
Zurich, Switzerland

First Western Advisors
Salt Lake City, UT

Golden Capital Management, LLC
Charlotte, NC

Jesup & Lamont Securities Corp.
New York, NY

Munder Lee Investments Ltd.
Palm Beach, FL

Select Capital Management, Inc.
Los Angeles, CA

Silvercrest Asset Management Group LLC
New York, NY

Southwest Financial Services, LLC
Tulsa, OK

Zacks Investment Management, Inc.
Chicago, IL