

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:** *January 5, 2007*

**Re:** *LICENSING REPORT*

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

**Attachment**

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

	<b>As of December 31, 2006</b>
<b>Broker-Dealers</b>	
NASD Broker-Dealers Registered	1,646
Non-NASD Broker-Dealers Registered	3
Broker-Dealers - Pending Applications	4
<b>Total Broker-Dealers</b>	<b>1,653</b>
<b>Investment Adviser Firms</b>	
Registered Investment Adviser Firms	151
Registered Investment Adviser Firms - Pending Applications	5
<b>Total Registered and Pending IA Firms</b>	<b>156</b>
Notice-Listed Investment Adviser Firms	871
Notice-Listed Investment Adviser Firms - Pending Applications	4
<b>Total Notice-Listed IA Firms</b>	<b>875</b>
<b>Total Investment Adviser Firms</b>	<b>1,031</b>
<b>Investment Adviser Representatives</b>	
Registered Investment Adviser Reps.	6,022
Registered Investment Adviser Reps.- Pending Applications	31
<b>Total Investment Adviser Reps.</b>	<b>6,053</b>

**For the Month of December 2006**

Broker-Dealers initially Registered in December 2006	0
Investment Advisers initially Registered in December 2006	0
Investment Advisers initially Notice-Listed in December 2006	4
NASD Broker-Dealer Agents Registered as of December 31, 2006	73,411
NASD Broker-Dealer Agents Registered as of November 30, 2006	78,655
NASD Broker-Dealer Agents Registered as of December 31, 2005	67,660
NASD Broker-Dealer Agents accepted through the CRD in December 2006	952
Issuer Agents registered as of December 31, 2006	126

## **Broker-Dealers Initially Registered in December 2006**

No new BD's for this period

---

## **Investment Advisers Initially Registered in December 2006**

No new Registered IA's for this period

---

## **Investment Advisers Initially Making Notice Filing in December 2006**

Fulcrum Advisory Services, Inc.  
Reston, VA

Summit Investment Group, LLP  
Broken Arrow, OK

United Capital Financial Advisers, Inc.  
Newport Beach, CA

United Capital Investment Advisers, Inc.  
Newport Beach, CA