

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: *December 8, 2006*

Re: *LICENSING REPORT*

Attached is the report of the licensing activities of the Department as of November 30, 2006.

Attachment

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

	As of November 30, 2006
Broker-Dealers	
NASD Broker-Dealers Registered	1,661
Non-NASD Broker-Dealers Registered	3
Broker-Dealers - Pending Applications	5
Total Broker-Dealers	1,669
Investment Adviser Firms	
Registered Investment Adviser Firms	155
Registered Investment Adviser Firms - Pending Applications	4
Total Registered and Pending IA Firms	159
Notice-Listed Investment Adviser Firms	869
Notice-Listed Investment Adviser Firms - Pending Applications	1
Total Notice-Listed IA Firms	870
Total Investment Adviser Firms	1,029
Investment Adviser Representatives	
Registered Investment Adviser Reps.	6,145
Registered Investment Adviser Reps. - Pending Applications	28
Total Investment Adviser Reps.	6,173

For the Month of November 2006

Broker-Dealers initially Registered in November 2006	8
Investment Advisers initially Registered in November 2006	1
Investment Advisers initially Notice-Listed in November 2006	5
NASD Broker-Dealer Agents Registered as of November 30, 2006	78,655
NASD Broker-Dealer Agents Registered as of October 31, 2006	78,271
NASD Broker-Dealer Agents Registered as of November 30, 2005	73,551
NASD Broker-Dealer Agents accepted through the CRD in November 2006	1,568
Issuer Agents registered as of November 30, 2006	137

Broker-Dealers Initially Registered in November 2006

Coast Asset Securities LLC
Santa Monica, CA

Dewaay Financial Network, Inc.
West Des Moines, IA

Foresight Investments, LLC
Northbrook, IL

Fulcrum Securities, Inc.
Reston, VA

Macro Financial, LLC
Madison, NJ

Manarin Securities Corporation
Omaha, NE

Reuven Enterprises Securities Division, LLC
New York, NY

Spartan Securities Group, Ltd.
St. Petersburg, FL

Investment Advisers Initially Registered in November 2006

Encompass Financial Services, Inc.
Cherokee, OK

Investment Advisers Initially Making Notice Filing in November 2006

CSI Capital Management Inc.
San Francisco, CA

Fiduciary Asset Management, L.L.C.
St. Louis, MO

Keeley Asset Management Corp.
Chicago, IL

LD Lowe Sr., Financial Advisory
Frisco, TX

Oberlin Financial Corp.
Bryan, OH