

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:** *November 6, 2006*

**Re:** *LICENSING REPORT*

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

**Attachment**

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

	<b>As of October 31, 2006</b>
<b>Broker-Dealers</b>	
NASD Broker-Dealers Registered	1,660
Non-NASD Broker-Dealers Registered	3
Broker-Dealers - Pending Applications	4
<b>Total Broker-Dealers</b>	<b>1,667</b>
<b>Investment Adviser Firms</b>	
Registered Investment Adviser Firms	155
Registered Investment Adviser Firms - Pending Applications	2
<b>Total Registered and Pending IA Firms</b>	<b>157</b>
Notice-Listed Investment Adviser Firms	871
Notice-Listed Investment Adviser Firms - Pending Applications	0
<b>Total Notice-Listed IA Firms</b>	<b>871</b>
<b>Total Investment Adviser Firms</b>	<b>1,028</b>
<b>Investment Adviser Representatives</b>	
Registered Investment Adviser Reps.	6,178
Registered Investment Adviser Reps.- Pending Applications	21
<b>Total Investment Adviser Reps.</b>	<b>6,199</b>

**For the Month of October 2006**

Broker-Dealers initially Registered in October 2006	11
Investment Advisers initially Registered in October 2006	4
Investment Advisers initially Notice-Listed in October 2006	4
NASD Broker-Dealer Agents Registered as of October 31, 2006	78,271
NASD Broker-Dealer Agents Registered as of September 30, 2006	77,476
NASD Broker-Dealer Agents Registered as of October 31, 2005	73,292
NASD Broker-Dealer Agents accepted through the CRD in October 2006	1,953
Issuer Agents registered as of October 31, 2006	137

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

Fox Financial Management Corporation  
Carrollton, TX

Global Hunter Securities, LLC  
New Orleans, LA

Indievest Securities, Inc.  
San Diego, CA

Joseph Cameron LLC  
Salt Lake City, UT

Ophir Capital LLC  
Greenwich, CT

Security Distributors, Inc.  
Topeka, KS

Spike Financial Services, LLC  
Chicago, IL

Strand, Atkinson, Williams & York, Inc.  
Portland, OR

TBC Securities, LLC  
Arlington, VA

Telemus Investment Brokers, LLC  
Southfield, MI

Yieldquest Securities, LLC  
Atlanta, GA

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

Financial Leadership Advisors, Inc.  
Johns Creek, GA

Freeman Global Investment Counsel  
Keller, TX

Paragon Capital Advisors, LLC  
Scottsdale, AZ

Warburton Capital Management, LLC  
Tulsa, OK

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

Global Portfolio Strategies, Inc.  
Hartford, CT

Ingalls & Snyder LLC  
New York, NY

London Co. of Virginia  
Richmond, VA

Security Management Company, LLC  
Topeka, KS