

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: *October 4, 2006*

Re: *LICENSING REPORT*

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

Attachment

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

	As of September 30, 2006
Broker-Dealers	
NASD Broker-Dealers Registered	1,657
Non-NASD Broker-Dealers Registered	3
Broker-Dealers - Pending Applications	6
Total Broker-Dealers	1,666
Investment Adviser Firms	
Registered Investment Adviser Firms	151
Registered Investment Adviser Firms - Pending Applications	4
Total Registered and Pending IA Firms	155
Notice-Listed Investment Adviser Firms	869
Notice-Listed Investment Adviser Firms - Pending Applications	1
Total Notice-Listed IA Firms	870
Total Investment Adviser Firms	1,025
Investment Adviser Representatives	
Registered Investment Adviser Reps.	6,244
Registered Investment Adviser Reps. - Pending Applications	34
Total Investment Adviser Reps.	6,278

For the Month of September 2006

Broker-Dealers initially Registered in September 2006	7
Investment Advisers initially Registered in September 2006	2
Investment Advisers initially Notice-Listed in September 2006	3
NASD Broker-Dealer Agents Registered as of September 30, 2006	77,476
NASD Broker-Dealer Agents Registered as of August 31, 2006	76,633
NASD Broker-Dealer Agents Registered as of September 30, 2005	72,793
NASD Broker-Dealer Agents accepted through the CRD in September 2006	2,016
Issuer Agents registered as of September 30, 2006	150

Broker-Dealers Initially Registered in September 2006

C.E. Pfeifer & Co., Inc.
Pittsburgh , PA

General Securities Corp
North Kansas City, MO

Great American Investors, Inc.
Overland Park, KS

Mariner Group Capital Markets, Inc.
Harrison, NY

MLP Real Estate Securities, Inc.
Sacramento, CA

Stern Brothers & Co.
St. Louis, MO

Urchin Capital Partners, LLC
San Francisco, CA

Investment Advisers Initially Registered in September 2006

Bancwest Investment Services, Inc.
Omaha, NE

Sweeney Asset Management, LLC
Oklahoma City, OK

Investment Advisers Initially Making Notice Filing in September 2006

BNY Brokerage Inc.
New York, NY

Merrill Lynch Investment Managers, LLC
Jacksonville, FL

Perkins, Wolf, McDonnell and Company, LLC
Chicago, IL