

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:** *March 8, 2007*

**Re:** *LICENSING REPORT*

Attached is the report of the licensing activities of the Department as of February 28, 2007.

**Attachment**

**Oklahoma Department of Securities  
Licensing Section  
February 2007**

	<b>As of February 28, 2007</b>
<b>Broker-Dealers</b>	
NASD Broker-Dealers Registered	1,642
Non-NASD Broker-Dealers Registered	3
Broker-Dealers - Pending Applications	3
<b>Total Broker-Dealers</b>	<b>1,648</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	860
Notice-Listed Investment Adviser Firms - Pending Applications	1
<b>Total Notice-Listed IA Firms</b>	<b>861</b>
<b>Total Investment Adviser Firms</b>	<b>1,018</b>
<b>Investment Adviser Representatives</b>	
Registered Investment Adviser Reps.	6,192
Registered Investment Adviser Reps.- Pending Applications	23
<b>Total Investment Adviser Reps.</b>	<b>6,215</b>

**For the Month of February 2007**

Broker-Dealers initially Registered in February 2007	15
Investment Advisers initially Registered in February 2007	4
Investment Advisers initially Notice-Listed in February 2007	10
NASD Broker-Dealer Agents Registered as of February 28, 2007	77,979
NASD Broker-Dealer Agents Registered as of January 31, 2007	76,722
NASD Broker-Dealer Agents Registered as of February 28, 2006	71,714
NASD Broker-Dealer Agents accepted through the CRD in February 2007	2,144
Issuer Agents registered as of February 28, 2007	119

## **Broker-Dealers Initially Registered in February 2007**

Allegiant Securities L.L.C.  
Miami, FL

Arlington Securities, Inc.  
St. Louis, MO

BGC Securities  
New York, NY

Chevy Chase Financial Services  
Bethesda, MD

CNS Securities, LLC  
Richardson, TX

D.M. Kelly & Company  
West Des Moines, IA

Emerald Ventures, LLC  
San Antonio, TX

Green Street Advisors, Inc.  
Newport Beach, CA

Guggenheim Securities, LLC  
New York, NY

Linear Financial Services, Inc.  
Santa Ana, CA

North Star Investment Services, Inc.  
Chicago, IL

Silver Oak Securities, Incorporated  
Jackson, TN

Texlark Securities, LLC  
Plano, TX

ThomasLloyd Capital LLC  
Lake Saint Louis, MO

TVA Capital, LLC  
Newport Beach, CA

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## **Investment Advisers Initially Registered in February 2007**

Great Nation Investment Corporation  
Amarillo, TX

Pentecost Capital Management, Inc.  
Tulsa, OK

Regal Advisory Services, Inc.  
Glenview, IL

ePLANNING Advisors Inc.  
Roseville, CA

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## **Investment Advisers Initially Making Notice Filing in February 2007**

Anderson & Strudwick, Incorporated  
Richmond, VA

Ashfield Capital Partners, LLC  
San Francisco, CA

C.W. Henderson & Associates, Inc.  
Chicago, IL

H. Beck, Inc.  
Rockville, MD

Hutchinson Financial, Inc.  
Little Rock, AR

ITS Asset Management, L.P.  
Washington, PA

Potomac Fund Management  
Easton, MD

Thompson Davis & Co., Inc.  
Richmond, VA

USA Financial Formulas, LLC.  
Ada, MI

Wedgewood Partners, Inc.  
St. Louis, MO