

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:** *February 5, 2007*

**Re:** *LICENSING REPORT*

Attached is the report of the licensing activities of the Department as of January 31, 2007.

**Attachment**

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

	<b>As of January 31, 2007</b>
<b>Broker-Dealers</b>	
NASD Broker-Dealers Registered	1,630
Non-NASD Broker-Dealers Registered	3
Broker-Dealers - Pending Applications	6
<b>Total Broker-Dealers</b>	<b>1,639</b>
<b>Investment Adviser Firms</b>	
Registered Investment Adviser Firms	150
Registered Investment Adviser Firms - Pending Applications	5
<b>Total Registered and Pending IA Firms</b>	<b>155</b>
Notice-Listed Investment Adviser Firms	848
Notice-Listed Investment Adviser Firms - Pending Applications	4
<b>Total Notice-Listed IA Firms</b>	<b>852</b>
<b>Total Investment Adviser Firms</b>	<b>1,007</b>
<b>Investment Adviser Representatives</b>	
Registered Investment Adviser Reps.	6,134
Registered Investment Adviser Reps. - Pending Applications	28
<b>Total Investment Adviser Reps.</b>	<b>6,162</b>

**For the Month of January 2007**

Broker-Dealers initially Registered in January 2007	22
Investment Advisers initially Registered in January 2007	2
Investment Advisers initially Notice-Listed in January 2007	13
NASD Broker-Dealer Agents Registered as of January 31, 2007	76,722
NASD Broker-Dealer Agents Registered as of December 31, 2006	73,411
NASD Broker-Dealer Agents Registered as of January 31, 2006	70,944
NASD Broker-Dealer Agents accepted through the CRD in January 2007	4,361
Issuer Agents registered as of January 31, 2007	122

## Broker-Dealers Initially Registered in January 2007

1st Worldwide Financial Partners, LLC  
Chicago, IL

A&F Financial Securities, Inc.  
Mount Dora, FL

Abshier Webb & Donnelly, Inc.  
Houston, TX

Bandon Partners, LLC  
San Francisco, CA

Carrington Investment Services, LLC  
Greenwich, CT

Chickasaw Securities, LLC  
Memphis, TN

Evolution Markets Financial Services LLC  
White Plains, NY

Griffiths McBurney Corp.  
Toronto, Canada

G-Trade Services LLC  
New York, NY

Heritage Fund Distributors Inc.  
St. Petersburg, FL

Jackson Kohle & Co.  
Dana Point, CA

John Thomas Financial  
New York, NY

Landmark Investment Group, Inc  
Cheektowaga, NY

Noesis Capital Corp.  
Boca Raton, FL

Old Mutual Financial Network Securities, Inc.  
Baltimore, MD

SWBC Investment Services, LLC  
San Antonio, TX

TP Securities, LLC  
Los Angeles, CA

Treasury Curve, LLC  
Menlo Park, CA

Wealth Enhancement Brokerage Services, LLC  
Wayzata, MN

Wextrust Securities LLC  
Norfolk, VA

White Pacific Securities, Inc.  
San Francisco, CA

Wm. H. Murphy & Co., Inc.  
Houston, TX

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

Brookstone Capital Management LLC  
Wheaton, IL

Robeco Investment Management  
New York, NY

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

Beacon Investment Company  
Ann Arbor, MI

DirectAdvice, Incorporated  
East Hartford, CT

Diversified Investment Advisors, Inc.  
Purchase, NY

Edelman Financial Services LLC  
Fairfax, VA

First Advisors, Inc.  
Chesterfield, MO

Girard Securities, Inc.  
San Diego, CA

Glenmede Investment Management, LP  
Philadelphia, PA

Kornitzer Capital Management, Inc.  
Shawnee Mission, KS

McSherryAssociates  
Lake Geneva, WI

Registered Independent Agents, LLC  
East Gull Lake, MN

Stolper Asset Management  
Tulsa, OK

The Focus Group Advisors  
Bartlesville, OK

Waterstone Financial Group, Inc.  
Itasca, IL