

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: *September 7, 2007*

Re: *LICENSING REPORT*

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

Attachment

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

	As of August 31, 2007
Broker-Dealers	
NASD Broker-Dealers Registered	1,671
Non-NASD Broker-Dealers Registered	3
Broker-Dealers - Pending Applications	6
Total Broker-Dealers	1,680
Investment Adviser Firms	
Registered Investment Adviser Firms	154
Registered Investment Adviser Firms - Pending Applications	1
Total Registered and Pending IA Firms	155
Notice-Listed Investment Adviser Firms	905
Notice-Listed Investment Adviser Firms - Pending Applications	1
Total Notice-Listed IA Firms	906
Total Investment Adviser Firms	1,061
Investment Adviser Representatives	
Registered Investment Adviser Reps.	6,236
Registered Investment Adviser Reps. - Pending Applications	28
Total Investment Adviser Reps.	6,264

For the Month of August 2007

Broker-Dealers initially Registered in August 2007	16
Investment Advisers initially Registered in August 2007	2
Investment Advisers initially Notice-Listed in August 2007	9
NASD Broker-Dealer Agents Registered as of August 31, 2007	83,295
NASD Broker-Dealer Agents Registered as of July 31, 2007	81,741
NASD Broker-Dealer Agents Registered as of August 31, 2006	76,633
NASD Broker-Dealer Agents accepted through the CRD in August 2007	2,877
Issuer Agents registered as of August 31, 2007	126

Broker-Dealers Initially Registered in August 2007

Deer Valley Securities, Inc.
Seahurst, WA

Essex Financial Services, Inc.
Essex, CT

Financial Advisers of America, LLC
Carlsbad, CA

Gartmore Broker Dealer, Inc.
Philadelphia, PA

Great Pacific Securities
Costa Mesa, CA

Jerome P. Greene & Associates, LLC
Indianapolis, IN

Leumi Investment Services Inc.
New York, NY

Max International Broker/Dealer Corp.
New York, NY

Meeting Street Brokerage, LLC
Palm City, FL

Microplace, Inc.
San Jose, CA

NB Global Trading, LLC
New York, NY

NFB Investment Services Corp.
Melville, NY

Stofan, Agazzi & Company, Inc.
Joliet, IL

Traderfield Securities Inc.
New York, NY

Weiss Investment Management Services, LLC
Garden City, NY

Wisconsin Discount Securities Corporation
Milwaukee, WI

Investment Advisers Initially Registered in August 2007

Brokers International Financial Services, LLC.
Panora, IA

Magnolia Capital, LLC
Tulsa, OK

Investment Advisers Initially Making Notice Filing in August 2007

Boyer & Corporon Wealth Management, LLC
Overland Park, KS

Donaldson Capital Management LLC
Evansville, IN

Edelman Personal Financial Advisors LLC
Fairfax, VA

Krasney Financial, LLC
Mendham, NJ

Personal Mutual Fund Management/401K Toolbox
Watkinsville, GA

ThomasPartners, Inc.
Wellesley, MA

USA Financial Securities Corporation
Ada, MI

Wealth Advisors, L.L.C.
Tulsa, OK

Wiley Bros.-Aintree Capital, LLC
Nashville, TN