

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: *August 8, 2007*

Re: *LICENSING REPORT*

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

Attachment

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

	As of July 31, 2007
Broker-Dealers	
NASD Broker-Dealers Registered	1,659
Non-NASD Broker-Dealers Registered	3
Broker-Dealers - Pending Applications	8
Total Broker-Dealers	1,670
Investment Adviser Firms	
Registered Investment Adviser Firms	154
Registered Investment Adviser Firms - Pending Applications	0
Total Registered and Pending IA Firms	154
Notice-Listed Investment Adviser Firms	901
Notice-Listed Investment Adviser Firms - Pending Applications	1
Total Notice-Listed IA Firms	902
Total Investment Adviser Firms	1,056
Investment Adviser Representatives	
Registered Investment Adviser Reps.	6,211
Registered Investment Adviser Reps.- Pending Applications	30
Total Investment Adviser Reps.	6,241

For the Month of July 2007

Broker-Dealers initially Registered in July 2007	8
Investment Advisers initially Registered in July 2007	3
Investment Advisers initially Notice-Listed in July 2007	5
NASD Broker-Dealer Agents Registered as of July 31, 2007	81,741
NASD Broker-Dealer Agents Registered as of June 30, 2007	81,071
NASD Broker-Dealer Agents Registered as of July 31, 2006	75,085
NASD Broker-Dealer Agents accepted through the CRD in July 2007	2,074
Issuer Agents registered as of July 31, 2007	126

Broker-Dealers Initially Registered in July 2007

Alternative Wealth Strategies, Inc.
Cherry Hill, NJ

AMREIT Securities Company
Houston, TX

CSSC Brokerage Services, Inc.
Troy, MI

Fortis Securities LLC
New York, NY

Interocean Securities LLC
Chicago, IL

JNK Securities Corp.
New York, NY

Pacer Financial, Inc.
Paoli, PA

Signature Financial Group, Inc.
Torrance, CA

Investment Advisers Initially Registered in July 2007

Acorn Advisors, LLC
Tulsa, OK

Falcon Financial of Oklahoma, LLC
Edmond, OK

Legacy Wealth Management, LLC
Edmond, OK

Investment Advisers Initially Making Notice Filing in July 2007

Burney Company (The)
Portsmouth, RI

Gordon C. Haave Associates, Inc.
Oklahoma City, OK

Heritage Asset Advisors Ltd., LLP
Houston, TX

Stavis Margolis Advisory Services Inc.
Houston, TX

Womack Investment Advisers, Inc.
Edmond, OK