

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: *May 8, 2007*

Re: *LICENSING REPORT*

Attached is the report of the licensing activities of the Department as of April 30, 2007.

Attachment

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

	As of April 30, 2007
Broker-Dealers	
NASD Broker-Dealers Registered	1,660
Non-NASD Broker-Dealers Registered	3
Broker-Dealers - Pending Applications	4
Total Broker-Dealers	1,667
Investment Adviser Firms	
Registered Investment Adviser Firms	155
Registered Investment Adviser Firms - Pending Applications	1
Total Registered and Pending IA Firms	156
Notice-Listed Investment Adviser Firms	883
Notice-Listed Investment Adviser Firms - Pending Applications	0
Total Notice-Listed IA Firms	883
Total Investment Adviser Firms	1,039
Investment Adviser Representatives	
Registered Investment Adviser Reps.	6,201
Registered Investment Adviser Reps.- Pending Applications	28
Total Investment Adviser Reps.	6,229

For the Month of April 2007

Broker-Dealers initially Registered in April 2007	13
Investment Advisers initially Registered in April 2007	0
Investment Advisers initially Notice-Listed in April 2007	12
NASD Broker-Dealer Agents Registered as of April 30, 2007	79,729
NASD Broker-Dealer Agents Registered as of March 31, 2007	79,085
NASD Broker-Dealer Agents Registered as of April 30, 2006	73,450
NASD Broker-Dealer Agents accepted through the CRD in April 2007	3,436
Issuer Agents registered as of April 30, 2007	121

Broker-Dealers Initially Registered in April 2007

America's Choice Equities LLC
West Palm Beach, FL

Constellation Wealth Advisors LLC
New York, NY

Cornerstone Financial Services, Inc.
Indianapolis, IN

Crucible Capital Group, Inc.
New York, NY

Diamond Edge Capital Partners, LLC
New York, NY

Fortune Financial Services, Inc.
New Brighton, PA

Halpern Capital, Inc.
Aventura, FL

Invescor Wholesale BD, Inc.
Farmington Hills, MI

Proctor Investment Distributors, LLC
New York, NY

Rockwell Global Capital LLC
Melville, NY

Rockwell Securities LLC
New York, NY

Roundtable Capital Services LLC
New York, NY

Steben & Company, Inc.
Rockville, MD

Investment Advisers Initially Registered in April 2007

No new Registered IA's for this period

Investment Advisers Initially Making Notice Filing in April 2007

Brookstone Securities, Inc.
Lakeland, FL

Capital Investment Counsel Inc.
Denver, CO

Copper Rock Capital Partners LLC
Boston, MA

GWN Securities, Inc.
Palm Beach Gardens, FL

Investment Professionals, Inc.
San Antonio, TX

Isaac Mayanja & Associates
Redmond, WA

Jaffe Tilchin Wealth Management
Tampa, FL

Legg Mason Private Portfolio Group, LLC
Stamford, CT

Logan Circle Partners, L.P.
Conshohocken, PA

Medallion Advisory Services, LLC
Severna Park, MD

RMB Capital Management
Chicago, IL

WL Ross & Co. LLC
New York, NY