

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:** *April 10, 2007*

**Re:** *LICENSING REPORT*

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

**Attachment**

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

	<b>As of March 31, 2007</b>
<b>Broker-Dealers</b>	
NASD Broker-Dealers Registered	1,651
Non-NASD Broker-Dealers Registered	3
Broker-Dealers - Pending Applications	4
<b>Total Broker-Dealers</b>	<b>1,658</b>
<b>Investment Adviser Firms</b>	
Registered Investment Adviser Firms	157
Registered Investment Adviser Firms - Pending Applications	2
<b>Total Registered and Pending IA Firms</b>	<b>159</b>
Notice-Listed Investment Adviser Firms	868
Notice-Listed Investment Adviser Firms - Pending Applications	2
<b>Total Notice-Listed IA Firms</b>	<b>870</b>
<b>Total Investment Adviser Firms</b>	<b>1,029</b>
<b>Investment Adviser Representatives</b>	
Registered Investment Adviser Reps.	6,196
Registered Investment Adviser Reps. - Pending Applications	27
<b>Total Investment Adviser Reps.</b>	<b>6,223</b>

**For the Month of March 2007**

Broker-Dealers initially Registered in March 2007	12
Investment Advisers initially Registered in March 2007	2
Investment Advisers initially Notice-Listed in March 2007	15
NASD Broker-Dealer Agents Registered as of March 31, 2007	79,085
NASD Broker-Dealer Agents Registered as of February 28, 2007	77,969
NASD Broker-Dealer Agents Registered as of March 31, 2006	72,851
NASD Broker-Dealer Agents accepted through the CRD in March 2007	2,255
Issuer Agents registered as of March 31, 2007	121

**Broker-Dealers Initially Registered in March 2007**

Brokers International Financial Services, LLC.  
Panora, IA

Capital Research Brokerage Services, LLC  
Pasadena, CA

Core Capital Markets Group, Inc.  
Newport Beach, CA

Indievest Securities, Inc.  
San Diego, CA

Lowell & Company, Inc.  
Lubbock, TX

Macquarie Securities (USA) Inc.  
New York, NY

Navigant Capital Advisors, LLC  
Atlanta, GA

Private Asset Group, Inc.  
Costa Mesa, CA

Shareholders Service Group, Inc.  
San Diego, CA

Statesman Corporate Finance, LLC  
Houston, TX

Tritaurian Capital, LLC  
New York, NY

Vanthegepoint Securities, LLC  
New York, NY

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

Etekon Advisors, LLC  
Austin, TX

SJ Tattan Capital Management, LLC  
Oklahoma City, OK

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

Advisory Research Inc.  
Chicago, IL

BMF Investments, Inc.  
Charlotte, NC

Cramer Rosenthal McGlynn LLC  
New York, NY

Denver Investment Advisors LLC  
Denver, CO

Eagle Global Advisors LLC  
Houston, TX

Franklin, Turner & Welch LLC  
Houston, TX

Jonathan Roberts Advisory Group, Inc.  
Tampa, FL

Linscomb & Williams  
Houston, TX

M.D. Sass Tax Advantaged Bond Strategies, L.L.C.  
New York, NY

Minneapolis Portfolio Management Group, LLC  
Minneapolis, MN

Niemann Capital Management Inc.  
Capitola, CA

Pacific Investment Management Company LLC  
Newport Beach, CA

Standish Mellon Asset Management Company LLC  
Boston, MA

True Capital Management  
San Francisco, CA

Wall Street Associates  
La Jolla, CA