

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: *June 6, 2007*

Re: *LICENSING REPORT*

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

Attachment

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

	As of May 31, 2007
Broker-Dealers	
NASD Broker-Dealers Registered	1,663
Non-NASD Broker-Dealers Registered	3
Broker-Dealers - Pending Applications	5
Total Broker-Dealers	1,671
Investment Adviser Firms	
Registered Investment Adviser Firms	154
Registered Investment Adviser Firms - Pending Applications	3
Total Registered and Pending IA Firms	157
Notice-Listed Investment Adviser Firms	885
Notice-Listed Investment Adviser Firms - Pending Applications	2
Total Notice-Listed IA Firms	887
Total Investment Adviser Firms	1,044
Investment Adviser Representatives	
Registered Investment Adviser Reps.	6,199
Registered Investment Adviser Reps.- Pending Applications	37
Total Investment Adviser Reps.	6,236

For the Month of May 2007

Broker-Dealers initially Registered in May 2007	7
Investment Advisers initially Registered in May 2007	1
Investment Advisers initially Notice-Listed in May 2007	8
NASD Broker-Dealer Agents Registered as of May 31, 2007	80,433
NASD Broker-Dealer Agents Registered as of April 30, 2007	79,729
NASD Broker-Dealer Agents Registered as of May 31, 2006	74,186
NASD Broker-Dealer Agents accepted through the CRD in May 2007	2,293
Issuer Agents registered as of May 31, 2007	122

Broker-Dealers Initially Registered in May 2007

Advanced Advisor Group, LLC
Cambridge, MN

Amtex Associates, LLC
Dallas, TX

Asset Alliance Investment Services Inc.
New York, NY

Chapin, Davis
Baltimore, MD

MidAmerica Financial Services, Inc.
Joplin, MO

RA Capital Advisors LLC
San Diego, CA

Shopoff Securities, Inc.
Irvine, CA

Investment Advisers Initially Registered in May 2007

Northeast Asset Management, Inc.
Mitchel Field, NY

Investment Advisers Initially Making Notice Filing in May 2007

Alta Capital Management LLC
Salt Lake City, UT

First Midwest Securities, Inc.
Bloomington, IL

Hydepark Investment Strategies, LLC
Chicago, IL

National Institute of Certified College Planners, LLC
Plentywood, MT

Northcoast Asset Management LLC
Greenwich, CT

Richards & Tierney Inc.
Chicago, IL

Summit Financial Group Inc.
Boca Raton, FL

Wilshire-Pennington Group, Inc.
Oklahoma City, OK