

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:** *November 8, 2007*

**Re:** *LICENSING REPORT*

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

**Attachment**

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

	<b>As of October 31, 2007</b>
<b>Broker-Dealers</b>	
NASD Broker-Dealers Registered	1,675
Non-NASD Broker-Dealers Registered	2
Broker-Dealers - Pending Applications	3
<b>Total Broker-Dealers</b>	<b>1,680</b>
<b>Investment Adviser Firms</b>	
Registered Investment Adviser Firms	151
Registered Investment Adviser Firms - Pending Applications	2
<b>Total Registered and Pending IA Firms</b>	<b>153</b>
Notice-Listed Investment Adviser Firms	914
Notice-Listed Investment Adviser Firms - Pending Applications	0
<b>Total Notice-Listed IA Firms</b>	<b>914</b>
<b>Total Investment Adviser Firms</b>	<b>1,067</b>
<b>Investment Adviser Representatives</b>	
Registered Investment Adviser Reps.	6,280
Registered Investment Adviser Reps.- Pending Applications	29
<b>Total Investment Adviser Reps.</b>	<b>6,309</b>

**For the Month of October 2007**

Broker-Dealers initially Registered in October 2007	11
Investment Advisers initially Registered in October 2007	0
Investment Advisers initially Notice-Listed in October 2007	5
NASD Broker-Dealer Agents Registered as of October 31, 2007	84,752
NASD Broker-Dealer Agents Registered as of September 30, 2007	83,848
NASD Broker-Dealer Agents Registered as of October 31, 2006	78,271
NASD Broker-Dealer Agents accepted through the CRD in October 2007	2,435
Issuer Agents registered as of October 31, 2007	127

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

B.B. Graham & Company, Inc.  
Orange, CA

Bonds.com, Inc.  
Boca Raton, FL

Commerce Street Capital, LLC  
Dallas, TX

G.W. & Wade Asset Management Company, Inc.  
Wellesley, MA

Johnson Securities, Inc.  
Malvern, PA

MacArthur Strategies, Inc.  
Irvine, CA

Oakbrook Investment Brokers, Inc.  
Oakbrook Terrace, IL

RCM Distributors LLC  
San Francisco, CA

Specialty Capital, LLC  
Reno, NV

TPG Capital BD, LLC  
Fort Worth, TX

TWG Securities, Inc.  
Chicago, IL

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

No new Registered IA's for this period

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

Alexander Read Investment Management, Inc.  
Winter Park, FL

Ethanol Capital Management LLC  
Tucson, AZ

Latigo Investment Partners, LLC  
Santa Monica, CA

Stillwater Investment Management, LLC  
Stillwater, MN

Synergy Investment Group, LLC  
Kannapolis, NC