

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:** *October 9, 2007*

**Re:** *LICENSING REPORT*

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

**Attachment**

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

	<b>As of September 30, 2007</b>	
<b>Broker-Dealers</b>		
NASD Broker-Dealers Registered	1,672	
Non-NASD Broker-Dealers Registered	3	
Broker-Dealers - Pending Applications	2	
	<b>Total Broker-Dealers</b>	<b>1,677</b>
<b>Investment Adviser Firms</b>		
Registered Investment Adviser Firms	153	
Registered Investment Adviser Firms - Pending Applications	1	
	<b>Total Registered and Pending IA Firms</b>	<b>154</b>
Notice-Listed Investment Adviser Firms	910	
Notice-Listed Investment Adviser Firms - Pending Applications	0	
	<b>Total Notice-Listed IA Firms</b>	<b>910</b>
	<b>Total Investment Adviser Firms</b>	<b>1,064</b>
<b>Investment Adviser Representatives</b>		
Registered Investment Adviser Reps.	6,265	
Registered Investment Adviser Reps. - Pending Applications	32	
	<b>Total Investment Adviser Reps.</b>	<b>6,297</b>

**For the Month of September 2007**

Broker-Dealers initially Registered in September 2007	8
Investment Advisers initially Registered in September 2007	0
Investment Advisers initially Notice-Listed in September 2007	8
NASD Broker-Dealer Agents Registered as of September 30, 2007	83,848
NASD Broker-Dealer Agents Registered as of August 31, 2007	83,295
NASD Broker-Dealer Agents Registered as of September 30, 2006	77,476
NASD Broker-Dealer Agents accepted through the CRD in September 2007	1,896
Issuer Agents registered as of September 30, 2007	126

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

Clearview Correspondent Services, LLC  
Richmond, VA

DEPFA First Albany Securities, LLC  
New York, NY

Frontegra Strategies, LLC  
Northbrook, IL

Midwest Financial and Investment Services, Inc.  
Elmwood Park, IL

PSG Executions, Inc.  
New York, NY

Sloan Securities Corp.  
Fort Lee, NJ

Summit Securities Group LLC  
New York, NY

Wien & Malkin Securities Corp.  
New York, NY

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**Investment Advisers Initially Registered in September 2007**

No new Registered IA's for this period

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**Investment Advisers Initially Making Notice Filing in September 2007**

1st Discount Brokerage, Inc.  
West Palm Beach, FL

Access Financial Group, Inc.  
Bethany, OK

Beneficial Investment Services, Inc.  
Salt Lake City, UT

McMurrey Investment Advisors LLC  
Houston, TX

Paul Manners & Associates, Inc.  
Atlanta, GA

Sheaff Brock Investment Advisors, LLC  
Indianapolis, IN

USA Tax & Insurance Services, Inc.  
Palm Harbor, FL

Windsor Financial Group LLC  
Minneapolis, MN