

IRVING L. FAUGHT  
ADMINISTRATOR



MARY FALLIN  
GOVERNOR

STATE OF OKLAHOMA  
DEPARTMENT OF SECURITIES

**MEMORANDUM**

**To:** Irving L. Faught, Administrator  
**From:** Carol Gruis, Director of Examinations  
**Date:** 3/4/2013  
**Re:** FIRMS AND PROFESSIONALS REPORT

Attached is a report of the applications processed, as of February 28, 2013, for firms and professionals seeking to do business in Oklahoma.

Attachment

**Oklahoma Department of Securities**  
**Firms and Professionals Division**  
**February 2013**

As of  
February 28, 2013

**Broker-Dealers**

FINRA Broker-Dealers Registered	1,512	
Non-FINRA Broker-Dealers Registered	1	
Broker-Dealers - Pending Applications	6	
<b>Total Broker-Dealers</b>		<b>1,519</b>

**Investment Adviser Firms**

Registered Investment Adviser Firms	157	
Registered Investment Adviser Firms - Pending Applications	1	
<b>Total Registered and Pending IA Firms</b>		<b>158</b>
Notice-Listed Investment Adviser Firms	938	
Notice-Listed Investment Adviser Firms - Pending Applications	0	
<b>Total Notice-Listed IA Firms</b>		<b>938</b>
<b>Total Investment Adviser Firms</b>		<b>1,096</b>

**Investment Adviser Representatives**

Registered Investment Adviser Reps.	4,580	
Registered Investment Adviser Reps.- Pending Applications	17	
<b>Total Investment Adviser Reps.</b>		<b>4,597</b>

**For the Month of February 2013**

Broker-Dealers initially Registered in February 2013		6
Investment Advisers initially Registered in February 2013		3
Investment Advisers initially Notice-Listed in February 2013		3
FINRA Broker-Dealer Agents Registered as of February 28, 2013		100,649
FINRA Broker-Dealer Agents Registered as of January 31, 2013		99,791
FINRA Broker-Dealer Agents Registered as of February 28, 2012		98,920
FINRA Broker-Dealer Agents accepted through the CRD in February 2013		2,010
Issuer Agents registered as of February 28, 2013		107

## Broker-Dealers Initially Registered in February 2013

CLSA Americas, LLC (CRD# 165533)  
New York, NY

Joseph Stone Capital L.L.C. (CRD# 159744)  
Garden City, NY

Motilal Oswal Securities International Private Limited (CRD# 164319)  
Mumbai, India

Silver Portal Capital LLC (CRD# 114290)  
San Diego, CA

Taylor Capital Management Inc. (CRD# 43559)  
Woodstock, GA

Temper of the Times Investor Services, Inc. (CRD# 39753)  
Harrison, NY

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## Investment Advisers Initially Registered in February 2013

Milestone Wealth Strategies (CRD# 162625)  
Plano, TX

Signal Research Group LLC (CRD# 166392)  
Oklahoma City, OK

Vision Advisors Financial Services LLC (CRD# 154981)  
Hot Springs, AR

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## Investment Advisers Initially Making Notice Filing in February 2013

Euro Pacific Asset Management, LLC (CRD# 152922)  
Newport Beach, CA

Harvest Volatility Management, LLC (CRD# 146869)  
New York, NY

Verity Asset Management (CRD# 158667)  
Durham, NC