

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:** 4/2/2013  
**Re:** FIRMS AND PROFESSIONALS REPORT

Attached is a report of the applications processed, as of March 31, 2013, for firms and professionals seeking to do business in Oklahoma.

Attachment

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

As of  
 March 31, 2013

**Broker-Dealers**

FINRA Broker-Dealers Registered	1,521	
Non-FINRA Broker-Dealers Registered	1	
Broker-Dealers - Pending Applications	11	
<b>Total Broker-Dealers</b>		<b>1,533</b>

**Investment Adviser Firms**

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	958	
Notice-Listed Investment Adviser Firms - Pending Applications	1	
<b>Total Notice-Listed IA Firms</b>		<b>959</b>
<b>Total Investment Adviser Firms</b>		<b>1,118</b>

**Investment Adviser Representatives**

Registered Investment Adviser Reps.	4,599	
Registered Investment Adviser Reps.- Pending Applications	10	
<b>Total Investment Adviser Reps.</b>		<b>4,609</b>

**For the Month of March 2013**

Broker-Dealers initially Registered in March 2013		12
Investment Advisers initially Registered in March 2013		1
Investment Advisers initially Notice-Listed in March 2013		20
FINRA Broker-Dealer Agents Registered as of March 31, 2013		101,092
FINRA Broker-Dealer Agents Registered as of February 28, 2013		100,649
FINRA Broker-Dealer Agents Registered as of March 31, 2012		99,614
FINRA Broker-Dealer Agents accepted through the CRD in March 2013		1,580
Issuer Agents registered as of March 31, 2013		106

## Broker-Dealers Initially Registered in March 2013

Avenir Financial Group (CRD# 148490)  
Orangeburg, NY

Braver Stern Securities LLC (CRD# 29108)  
New York, NY

CND Financial Ltd. (CRD# 132864)  
Bulverde, TX

CP Investments, LLC (CRD# 24029)  
Los Angeles, CA

Divine Capital Markets LLC (CRD# 118212)  
New York, NY

Kingsbury Capital LLC (CRD# 147102)  
Evanston, IL

MCG Securities LLC (CRD# 163144)  
Wayne, PA

Microventure Marketplace Inc. (CRD# 152513)  
Austin, TX

Sageworks Capital Inc. (CRD# 162182)  
New York, NY

Sharespost Financial Corporation (CRD# 134596)  
San Bruno, CA

TCFG Wealth Management, LLC (CRD# 164153)  
Laguna Niguel, CA

TD Private Client Wealth LLC (CRD# 164484)  
New York, NY

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## Investment Advisers Initially Registered in March 2013

SageOak Financial, LLC (CRD# 166927)  
Tulsa, OK

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## Investment Advisers Initially Making Notice Filing in March 2013

Ascent Investment Partners, LLC (CRD# 152533)  
St Louis, MO

Bedel Financial Consulting Inc. (CRD# 105653)  
Indianapolis, IN

Cammack Larhette Advisors, LLC (CRD# 140614)  
Wellesley, MA

Center Coast Capital Advisors, LP (CRD# 144128)  
Houston, TX

Charles Schwab Investment Advisory, Inc. (CRD# 151739)  
San Francisco, CA

Cincinnati Asset Management Inc. (CRD# 104946)  
Cincinnati, OH

Crawford Investment Counsel Inc. (CRD# 110271)  
Atlanta, GA

Dara Capital US, Inc. (CRD# 153544)  
New York, NY

Financial Advisers of America, LLC (CRD# 142170)  
Carlsbad, CA

Four Wood Capital Advisors (CRD# 165047)  
New York, NY

Frontier Wealth Management, LLC (CRD# 144344)  
Kansas City, MO

Fund Evaluation Group, LLC (CRD# 121658)  
Cincinnati, OH

Geowealth Management LLC (CRD# 148222)  
New York, NY

Herndon Capital Management, LLC (CRD# 113538)  
Atlanta, GA

Interactive Data Pricing and Reference Data LLC (CRD# 110037)  
Bedford, MA

Meeder Advisory Services, Inc. (CRD# 106814)  
Dublin, OH

Motley Fool Financial Planning (CRD# 165689)  
Alexandria, VA

Pyramis Global Advisors, LLC (CRD# 133196)  
Smithfield, RI

Tortoise Capital Advisors, L.L.C. (CRD# 123711)  
Leawood, KS

Washington Wealth Management (CRD# 155193)  
San Diego, CA