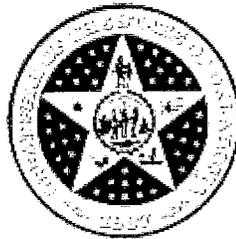


IRVING L. FAUGHT
ADMINISTRATOR



MARY FALLIN
GOVERNOR

STATE OF OKLAHOMA
DEPARTMENT OF SECURITIES

M E M O R A N D U M

To: Irving L. Faught, Administrator
From: Carol Gruis, Director of Examinations
Date: 6/3/2013
Re: FIRMS AND PROFESSIONALS REPORT

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

Attachment

Oklahoma Department of Securities
Firms and Professionals Division
May 2013

As of
May 31, 2013

Broker-Dealers

FINRA Broker-Dealers Registered	1,538	
Non-FINRA Broker-Dealers Registered	1	
Broker-Dealers - Pending Applications	8	
Total Broker-Dealers		1,547

Investment Adviser Firms

Registered Investment Adviser Firms	157	
Registered Investment Adviser Firms - Pending Applications	2	
Total Registered and Pending IA Firms		159
Notice-Listed Investment Adviser Firms	973	
Notice-Listed Investment Adviser Firms - Pending Applications	1	
Total Notice-Listed IA Firms		974
Total Investment Adviser Firms		1,133

Investment Adviser Representatives

Registered Investment Adviser Reps.	4,628	
Registered Investment Adviser Reps.- Pending Applications	6	
Total Investment Adviser Reps.		4,634

For the Month of May 2013

Broker-Dealers initially Registered in May 2013		10
Investment Advisers initially Registered in May 2013		0
Investment Advisers initially Notice-Listed in May 2013		8
FINRA Broker-Dealer Agents Registered as of May 31, 2013		102,031
FINRA Broker-Dealer Agents Registered as of April 30, 2013		101,666
FINRA Broker-Dealer Agents Registered as of May 31, 2012		100,446
FINRA Broker-Dealer Agents accepted through the CRD in May 2013		1,857
Issuer Agents registered as of May 31, 2013		107

Broker-Dealers Initially Registered in May 2013

Blue Sand Securities LLC (CRD# 142976)
Scottsdale, AZ

Cadwyn Point Partners LLC (CRD# 153505)
Norwalk, CT

Carey Financial, LLC (CRD# 15246)
New York, NY

Corecap Investments, Inc. (CRD# 37068)
Southfield, MI

Fundme Securities LLC (CRD# 161785)
San Francisco, CA

H.C. Wainwright & Co., LLC (CRD# 375)
New York, NY

KPG Capital Partners, LLC (CRD# 165392)
Park City, UT

LCG Capital Advisors, LLC (CRD# 129311)
Tampa, FL

MDB Capital Group LLC (CRD# 42677)
Santa Monica, CA

Tradier Brokerage, Inc. (CRD# 104982)
Charlotte, NC

Investment Advisers Initially Registered in May 2013

No new Registered IA's for this period

Investment Advisers Initially Making Notice Filing in May 2013

Bicycle Financial LLC (CRD# 164596)
Bethesda, MD

F-Squared Capital (CRD# 166945)
Newton, MA

Jag Capital Management LLC (CRD# 159227)
St. Louis, MO

Level Four Advisory Services (CRD# 134086)
Plano, TX

MCS Financial Advisors (CRD# 106327)
Eugene, OR

Neumeier Poma Investment Counsel LLC (CRD# 110672)
Carmel, CA

Paragon Capital Management LLC (CRD# 108168)
Overland Park, KS

Royal Fund Management, LLC (CRD# 144434)
The Villages, FL