

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: 12/2/2015
Re: FIRMS AND PROFESSIONALS REPORT

Attached is a report of the applications processed, as of November 30, 2015, for firms and professionals seeking to do business in Oklahoma.

Attachment

Oklahoma Department of Securities
Firms and Professionals Division
November 2015

As of
November 30, 2015

Broker-Dealers

FINRA Broker-Dealers Registered	1,497	
Non-FINRA Broker-Dealers Registered	1	
Broker-Dealers - Pending Applications	4	
		Total Broker-Dealers 1,502

Investment Adviser Firms

Registered Investment Adviser Firms	168	
Registered Investment Adviser Firms - Pending Applications	3	
		Total Registered and Pending IA Firms 171
Notice-Listed Investment Adviser Firms	1,067	
Notice-Listed Investment Adviser Firms - Pending Applications	1	
		Total Notice-Listed IA Firms 1,068
		Total Investment Adviser Firms 1,239

Investment Adviser Representatives

Registered Investment Adviser Reps.	4,802	
Registered Investment Adviser Reps.- Pending Applications	8	
		Total Investment Adviser Reps. 4,810

For the Month of November 2015

Broker-Dealers initially Registered in November 2015		2
Investment Advisers initially Registered in November 2015		1
Investment Advisers initially Notice-Listed in November 2015		3
FINRA Broker-Dealer Agents Registered as of November 30, 2015		117,000
FINRA Broker-Dealer Agents Registered as of October 31, 2015		116,476
FINRA Broker-Dealer Agents Registered as of November 30, 2014		110,945
FINRA Broker-Dealer Agents accepted through the CRD in November 2015		1,756
Issuer Agents registered as of November 30, 2015		104

Broker-Dealers Initially Registered in November 2015

Integrity Brokerage Services, Inc. (CRD# 117589)
Oceanside, CA

Trubee, Collins & Co., Inc. (CRD# 3618)
Buffalo, NY

Investment Advisers Initially Registered in November 2015

Great Plains Wealth Management, LLC (CRD# 172475)
Bixby, OK

Investment Advisers Initially Making Notice Filing in November 2015

KHP Capital LLC (CRD# 281169)
Tulsa, OK

Ridgeway Conger Advisory Services (CRD# 139372)
New Woodstock, NY

Toews Corporation (CRD# 106304)
Northfield, NJ