

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:** 7/3/2012  
**Re:** FIRMS AND PROFESSIONALS REPORT

Attached is a report of the applications processed, as of June 30, 2012, for firms and professionals seeking to do business in Oklahoma.

Attachment

**Oklahoma Department of Securities**  
**Firms and Professionals Division**  
**June 2012**

	As of June 30, 2012
<b>Broker-Dealers</b>	
FINRA Broker-Dealers Registered	1,549
Non-FINRA Broker-Dealers Registered	1
Broker-Dealers - Pending Applications	10
<b>Total Broker-Dealers</b>	<b>1,560</b>
<b>Investment Adviser Firms</b>	
Registered Investment Adviser Firms	154
Registered Investment Adviser Firms - Pending Applications	7
<b>Total Registered and Pending IA Firms</b>	<b>161</b>
Notice-Listed Investment Adviser Firms	973
Notice-Listed Investment Adviser Firms - Pending Applications	2
<b>Total Notice-Listed IA Firms</b>	<b>975</b>
<b>Total Investment Adviser Firms</b>	<b>1,136</b>
<b>Investment Adviser Representatives</b>	
Registered Investment Adviser Reps.	4,578
Registered Investment Adviser Reps.- Pending Applications	14
<b>Total Investment Adviser Reps.</b>	<b>4,592</b>
<b>For the Month of June 2012</b>	
Broker-Dealers initially Registered in June 2012	11
Investment Advisers initially Registered in June 2012	20
Investment Advisers initially Notice-Listed in June 2012	5
FINRA Broker-Dealer Agents Registered as of June 30, 2012	100,879
FINRA Broker-Dealer Agents Registered as of May 31, 2012	100,446
FINRA Broker-Dealer Agents Registered as of June 30, 2011	98,165
FINRA Broker-Dealer Agents accepted through the CRD in June 2012	1,778
Issuer Agents registered as of June 30, 2012	117

## Broker-Dealers Initially Registered in June 2012

AmericaFirst Securities, Inc. (CRD# 47071)  
Roseville, CA

Archer Distributors, LLC (CRD# 158961)  
Olney, MD

Bayshore Partners, LLC (CRD# 131546)  
Fort Lauderdale, FL

Capital Synergy Partners (CRD# 148733)  
Newport Beach, CA

EJ Sterling Inc. (CRD# 16569)  
New York, NY

FAP USA, L.P. (CRD# 145860)  
New York, NY

FirstMerit Financial Services, Inc. (CRD# 149680)  
Akron, OH

GCP Securities, LLC (CRD# 161596)  
Houston, TX

Landolt Securities, Inc. (CRD# 28352)  
Oshkosh, WI

McDonald Partners LLC (CRD# 135414)  
Cleveland, OH

Wallachbeth Capital LLC (CRD# 147853)  
New York, NY

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## Investment Advisers Initially Registered in June 2012

AmeriTrust Investment Advisors Inc (CRD# 108589)  
Tulsa, OK

Archambo Financial Advisors, Inc. (CRD# 129927)  
Bartlesville, OK

Barnett Investments Inc. (CRD# 111102)  
Bartlesville, OK

Bazis & Young Investment Group LLC (CRD# 148605)  
Omaha, NE

Cornerstone Financial Services Inc. (CRD# 112278)  
Dallas, TX

F.I.G. Financial Advisory Services, Inc. (CRD# 105506)  
Oklahoma City, OK

First State Investment Advisors, Inc. (CRD# 104788)  
Tulsa, OK

Hughes Warren, Inc. (CRD# 145570)  
Oklahoma City, OK

J. M. Brown & Associates, Inc. (CRD# 118427)  
Tulsa, OK

JLTD Advisors, LLC (CRD# 153690)  
Chicago, IL

Johnston & Associates Inc. (CRD# 106048)  
Denver, CO

Longbow Asset Management (CRD# 126193)  
Tulsa, OK

Mark I Asset Management, Ltd. (CRD# 104563)

Oklahoma City, OK  
October Wealth Advisors, Inc. (CRD# 153993)  
Fort Smith, AR  
Premier Investment Advisory Services, Inc. (CRD# 115801)  
Ada, OK  
Regal Advisory Services, Inc. (CRD# 123842)  
Glenview, IL  
Summit Investment Group, LLC (CRD# 142452)  
Tulsa, OK  
Warburton Capital Management, LLC (CRD# 141969)  
Tulsa, OK  
Wilshire-Pennington Group, Inc. (CRD# 127465)  
Oklahoma City, OK  
Womack Investment Advisers, Inc. (CRD# 118081)  
Edmond, OK

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**Investment Advisers Initially Making Notice Filing in June 2012**

Abacus Planning Group Inc. (CRD# 107994)  
Columbia, SC  
BMO Asset Management Corp. (CRD# 106466)  
Chicago, IL  
Grimes & Company, Inc. (CRD# 109420)  
Westborough, MA  
Palo Verde Capital, LLC (CRD# 164321)  
Scottsdale, AZ  
Yacktman Asset Management LP (CRD# 164420)  
Austin, TX