

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: 5/1/2012
Re: FIRMS AND PROFESSIONALS REPORT

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

Attachment

Oklahoma Department of Securities
Firms and Professionals Division
April 2012

As of
April 30, 2012

Broker-Dealers

FINRA Broker-Dealers Registered	1,545	
Non-FINRA Broker-Dealers Registered	1	
Broker-Dealers - Pending Applications	7	
Total Broker-Dealers		1,553

Investment Adviser Firms

Registered Investment Adviser Firms	127	
Registered Investment Adviser Firms - Pending Applications	24	
Total Registered and Pending IA Firms		151
Notice-Listed Investment Adviser Firms	983	
Notice-Listed Investment Adviser Firms - Pending Applications	2	
Total Notice-Listed IA Firms		985
Total Investment Adviser Firms		1,136

Investment Adviser Representatives

Registered Investment Adviser Reps.	4,598	
Registered Investment Adviser Reps.- Pending Applications	6	
Total Investment Adviser Reps.		4,604

For the Month of April 2012

Broker-Dealers initially Registered in April 2012		6
Investment Advisers initially Registered in April 2012		3
Investment Advisers initially Notice-Listed in April 2012		8
FINRA Broker-Dealer Agents Registered as of April 30, 2012		100,110
FINRA Broker-Dealer Agents Registered as of March 31, 2012		99,614
FINRA Broker-Dealer Agents Registered as of April 30, 2011		96,016
FINRA Broker-Dealer Agents accepted through the CRD in April 2012		1,759
Issuer Agents registered as of April 30, 2012		116

Broker-Dealers Initially Registered in April 2012

Ariane Capital Partners LLC (CRD# 36143)
Villanova, PA

ARMA Financial Services, Inc. (CRD# 18033)
Scottsdale, AZ

BFP Securities, LLC (CRD# 44731)
St. Louis, MO

ETC Brokerage Services, LLC (CRD# 145276)
Elyria, OH

Futurity First Investment Services Inc. (CRD# 148024)
Rocky Hill, CT

Williams Trading LLC (CRD# 43678)
Stamford, CT

Investment Advisers Initially Registered in April 2012

C. Victor Coates, C.P.A. (CRD# 108144)
Ponca City, OK

John Shao Portfolio Management, Inc. (CRD# 120214)
Plano, TX

Stolper Asset Management (CRD# 132962)
Tulsa, OK

Investment Advisers Initially Making Notice Filing in April 2012

American Fidelity Assurance Company (CRD# 106080)
Oklahoma City, OK

Baker Avenue Asset Management, LP (CRD# 132657)
San Francisco, CA

Canaan Natural Gas Management, LLC (CRD# 161801)
Oklahoma City, OK

Concorde Asset Management, LLC (CRD# 140367)
Troy, MI

Del Rey Global Investors, LLC (CRD# 152872)
Los Angeles, CA

Edge Advisors, LLC (CRD# 142261)
Atlanta, GA

Mesirow Financial Investment Management, Inc. (CRD# 111135)
Chicago, IL

Straightline (CRD# 127401)
Troy, MI