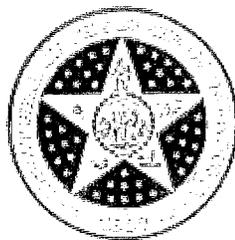


IRVING L. FAUGHT
ADMINISTRATOR



MARY FALLIN
GOVERNOR

STATE OF OKLAHOMA
DEPARTMENT OF SECURITIES

MEMORANDUM

To: Irving L. Faught, Administrator
From: Carol Gruis, Director of Examinations
Date: 1/4/2012
Re: FIRMS AND PROFESSIONALS REPORT

Attached is a report of the applications processed, as of December 31, 2011, for firms and professionals seeking to do business in Oklahoma.

Attachment

Oklahoma Department of Securities
Firms and Professionals Division
December 2011

As of
December 31, 2011

Broker-Dealers

FINRA Broker-Dealers Registered	1,574	
Non-FINRA Broker-Dealers Registered	1	
Broker-Dealers - Pending Applications	6	
Total Broker-Dealers		1,581

Investment Adviser Firms

Registered Investment Adviser Firms	145	
Registered Investment Adviser Firms - Pending Applications	1	
Total Registered and Pending IA Firms		146
Notice-Listed Investment Adviser Firms	953	
Notice-Listed Investment Adviser Firms - Pending Applications	0	
Total Notice-Listed IA Firms		953
Total Investment Adviser Firms		1,099

Investment Adviser Representatives

Registered Investment Adviser Reps.	4,640	
Registered Investment Adviser Reps.- Pending Applications	22	
Total Investment Adviser Reps.		4,662

For the Month of December 2011

Broker-Dealers initially Registered in December 2011		1
Investment Advisers initially Registered in December 2011		0
Investment Advisers initially Notice-Listed in December 2011		4
FINRA Broker-Dealer Agents Registered as of December 31, 2011		95,956
FINRA Broker-Dealer Agents Registered as of November 30, 2011		102,582
FINRA Broker-Dealer Agents Registered as of December 31, 2010		87,875
FINRA Broker-Dealer Agents accepted through the CRD in December 2011		971
Issuer Agents registered as of December 31, 2011		113

Broker-Dealers Initially Registered in December 2011

Emergent Financial Group, Inc. (CRD# 37891)
Bloomington, MN

Investment Advisers Initially Registered in December 2011

No new Registered IA's for this period

Investment Advisers Initially Making Notice Filing in December 2011

Absolute Investment Management LLC (CRD# 149621)
Bethesda, MD

City Securities Corporation (CRD# 1459)
Indianapolis, IN

Schwab Private Client Investment Advisory, Inc. (CRD# 159035)
San Francisco, CA

Trinity Investment Advisors (CRD# 146805)
Jay, OK