

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: January 14, 2013

Re: EXAMINATION REPORT

Attached hereto please find the report of the on-site examinations for the months ended November 30, 2012 and December 31, 2012.

**Examinations Division**  
**For The Period**  
**November 1, 2012 to December 31, 2012**

<b>On-Site Exams Started</b>		<b>BD</b>	<b>IA</b>	<b>Combined</b>
Total Exams Started		0	13	13
<b>On-Site Exams Completed</b>		<b>BD</b>	<b>IA</b>	<b>Combined</b>
Started and Completed During The Current Period		0	0	0
Started In A Prior Period and Completed During The Current Period		0	2	2
Referred to Enforcement Division		0	0	0
Total Exams Completed		<u>0</u>	<u>2</u>	<u>2</u>
<b>On-Site Exams Still Open</b>		<b>BD</b>	<b>IA</b>	<b>Combined</b>
Started During The Current Period		0	13	13
Started During A Prior Period		4	14	18
Total Still Open		<u>4</u>	<u>27</u>	<u>31</u>
		<b>BD</b>	<b>IA</b>	<b>Combined</b>
% of registrants examined during current period		0%	0.77%	0.77%
% of registrants against whom final action was taken during current period		0%	0.77%	0.77%
% of registrants examined against whom final action was taken during current period		0%	100%	100%

**NonBranch Sales Office Exam Questionnaires**

Total Reviewed      **0**

**On-Site Exam Aging**

Days	Still Open	Completed
0-30	7	0
31-60	6	0
61-90	2	0
Over 90	16	2
Totals	31	2

**Examinations Division**  
**For The Period**  
**November 1, 2012 to December 31, 2012**

**13 On-Site Exams Started but not Completed During Period**

IA/BD	Firm Name	Date Started
IA	JBR CO. - FINANCIAL MANAGEMENT, INC. P. O. Box 306 Ardmore, OK	11/8/2012
IA	BERTRAND WEALTH STRATEGIES, L.L.C. 8421 S I-35 SERVICE ROAD OKLAHOMA CITY, OK	11/8/2012
IA	ATHENA RETIREMENT ADVISORS, LLC 1111 W. WILLOW, SUITE 102 DUNCAN, OK	11/29/2012
IA	SCOTTS BAY INVESTMENT ADVISORS 4101 N. LIONS PLACW BROKEN ARROW, OK	11/29/2012
IA	MELIA WEALTH ADVISORY GROUP LLC 5424 S. MEMORIAL DRIVE, BLDG. E TULSA, OK	11/29/2012
IA	STEP BY STEP FINANCIAL, LLC 121 W. COMMERCIAL STREET BROKEN ARROW, OK	11/30/2012
IA	HELLAND INVESTMENT MANAGEMENT, INC. 5800 E. SKELLY DRIVE, SUITE 900 TULSA, OK	12/6/2012
IA	ACCESS ADVISORY GROUP, LLC 3621 NW 63RD OKLAHOMA CITY, OK	12/10/2012
IA	STEPHEN L. SMITH CORPORATION 7335 South Lewis, Suite 307 Tulsa, OK	12/11/2012
IA	G. DEWAYNE MCANALLY 7290 Cherokee Plaza, Suite 200 Oklahoma City, OK	12/17/2012
IA	JAMES BAKER & ASSOCIATES, L.P. 1601 N. W. Expressway, Suite 2000 Oklahoma City, OK	12/17/2012
IA	COMPASS CAPITAL MANAGEMENT, LLC P.O. BOX 787 MCALESTER, OK	12/18/2012
IA	SOARD FINANCIAL MANAGEMENT, LLC 9909 S. PENNSYLVANIA OKLAHOMA CITY, OK	12/27/2012

**2 On-Site Exams Completed During Period**

IA/BD	Firm Name	Date Started	Date Completed
IA	C C INVESTMENT ADVISORS, INC. 8101 N. W. 10th, Suite B Oklahoma City, OK	11/10/2011	11/26/2012
IA	WEALTH MANAGEMENT ADVISORS, LLC 4200 EAST SKELLY DRIVE, SUITE 350 TULSA, OK	4/9/2012	12/6/2012

\* Referred to Enforcement