

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: March 10, 2014
Re: EXAMINATION REPORT

Attached hereto please find the report of the on-site examinations for the months ended January 31, 2014 and February 28, 2014.

Examinations Division
For The Period
January 1, 2014 to February 28, 2014

On-Site Exams Started		BD	IA	Combined
Total Exams Started		0	1	1
On-Site Exams Completed		BD	IA	Combined
Started and Completed During The Current Period		0	0	0
Started In A Prior Period and Completed During The Current Period		1	5	6
Referred to Enforcement Division		0	0	0
Total Exams Completed		<u>1</u>	<u>5</u>	<u>6</u>
On-Site Exams Still Open		BD	IA	Combined
Started During The Current Period		0	1	1
Started During A Prior Period		5	24	29
Total Still Open		<u>5</u>	<u>25</u>	<u>30</u>
		BD	IA	Combined
% of registrants examined during current period		0%	0%	0%
% of registrants against whom final action was taken during current period		0%	1.46%	1.46%
% of registrants examined against whom final action was taken during current period		0%	0%	0%

NonBranch Sales Office Exam Questionnaires

Total Reviewed **3**

On-Site Exam Aging

Days	Still Open	Completed
0-30	1	0
31-60	0	0
61-90	2	1
Over 90	27	5
Totals	30	6

Examinations Division
For The Period
January 1, 2014 to February 28, 2014

1 On-Site Exams Started but not Completed During Period

IA/BD	Firm Name	Date Started
IA	PENTECOST CAPITAL MANAGEMENT, INC. 1218 EAST 33RD STREET TULSA, OK	2/18/2014

6 On-Site Exams Completed During Period

IA/BD	Firm Name	Date Started	Date Completed
IA	INVESTMENT TECHNIQUES, INC. 1803 South Quincy Avenue TULSA, OK	12/19/2011	1/10/2014
IA	INVESTMENT INCOME GROUP LLC 5001 EAST 61ST STREET TULSA,	11/21/2013	1/21/2014
IA	HELLAND INVESTMENT MANAGEMENT, INC. 5800 E. SKELLY DRIVE, SUITE 900 TULSA, OK	12/6/2012	2/5/2014
IA	WARD WEALTH MANAGEMENT SERVICES P. O. Box 1178 STILLWATER, OK	7/25/2013	2/7/2014
IA	G. DEWAYNE MCANALLY 7290 Cherokee Plaza, Suite 200 OKLAHOMA CITY, OK	12/17/2012	2/13/2014
BD	INVESTACORP, INC. 2530 E. 71ST STREET TULSA, TULSA	11/18/2013	2/18/2014

* Referred to Enforcement