

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: 6/2/2014
Re: FIRMS AND PROFESSIONALS REPORT

Attached is a report of the applications processed, as of May 31, 2014, for firms and professionals seeking to do business in Oklahoma.

Attachment

Oklahoma Department of Securities
Firms and Professionals Division
May 2014

As of
May 31, 2014

Broker-Dealers

FINRA Broker-Dealers Registered	1,497	
Non-FINRA Broker-Dealers Registered	1	
Broker-Dealers - Pending Applications	5	
Total Broker-Dealers		1,503

Investment Adviser Firms

Registered Investment Adviser Firms	165	
Registered Investment Adviser Firms - Pending Applications	7	
Total Registered and Pending IA Firms		172
Notice-Listed Investment Adviser Firms	1,009	
Notice-Listed Investment Adviser Firms - Pending Applications	2	
Total Notice-Listed IA Firms		1,011
Total Investment Adviser Firms		1,183

Investment Adviser Representatives

Registered Investment Adviser Reps.	4,688	
Registered Investment Adviser Reps.- Pending Applications	10	
Total Investment Adviser Reps.		4,698

For the Month of May 2014

Broker-Dealers initially Registered in May 2014		6
Investment Advisers initially Registered in May 2014		0
Investment Advisers initially Notice-Listed in May 2014		4
FINRA Broker-Dealer Agents Registered as of May 31, 2014		106,828
FINRA Broker-Dealer Agents Registered as of April 30, 2014		106,338
FINRA Broker-Dealer Agents Registered as of May 31, 2013		102,031
FINRA Broker-Dealer Agents accepted through the CRD in May 2014		1,971
Issuer Agents registered as of May 31, 2014		101

Broker-Dealers Initially Registered in May 2014

Bishop, Rosen & co., Inc. (CRD# 1248)
New York, NY

Carrollton Capital Partners, LLC (CRD# 165470)
Darien, CT

Drivewealth, LLC (CRD# 165429)
Morristown, NJ

Elkhorn Securities, LLC (CRD# 168905)
Wheaton, IL

Sepulveda Distributors LLIC (CRD# 166535)
Los Angeles, CA

Westlake Securities (CRD# 127112)
Austin, TX

Investment Advisers Initially Registered in May 2014

No new Registered IA's for this period

Investment Advisers Initially Making Notice Filing in May 2014

FCA Corp. (CRD# 110658)
Houston, TX

Great Valley Advisor Group, Inc. (CRD# 123913)
Wilmington, DE

Horter Investment Management, LLC (CRD# 119880)
Cincinnati, OH

Triune Financial Partners, LLC (CRD# 152277)
Overland Park, KS