

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: 11/3/2014
Re: FIRMS AND PROFESSIONALS REPORT

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

Attachment

Oklahoma Department of Securities
Firms and Professionals Division
October 2014

As of
October 31, 2014

Broker-Dealers

FINRA Broker-Dealers Registered	1,504	
Non-FINRA Broker-Dealers Registered	1	
Broker-Dealers - Pending Applications	4	
Total Broker-Dealers		1,509

Investment Adviser Firms

Registered Investment Adviser Firms	155	
Registered Investment Adviser Firms - Pending Applications	5	
Total Registered and Pending IA Firms		160
Notice-Listed Investment Adviser Firms	1,029	
Notice-Listed Investment Adviser Firms - Pending Applications	1	
Total Notice-Listed IA Firms		1,030
Total Investment Adviser Firms		1,190

Investment Adviser Representatives

Registered Investment Adviser Reps.	4,764	
Registered Investment Adviser Reps.- Pending Applications	7	
Total Investment Adviser Reps.		4,771

For the Month of October 2014

Broker-Dealers initially Registered in October 2014		4
Investment Advisers initially Registered in October 2014		1
Investment Advisers initially Notice-Listed in October 2014		5
FINRA Broker-Dealer Agents Registered as of October 31, 2014		110,812
FINRA Broker-Dealer Agents Registered as of September 30, 2014		110,053
FINRA Broker-Dealer Agents Registered as of October 31, 2013		105,763
FINRA Broker-Dealer Agents accepted through the CRD in October 2014		2,215
Issuer Agents registered as of October 31, 2014		104

Broker-Dealers Initially Registered in October 2014

Bedminster Financial Group, Limited (CRD# 39916)
Holicong, PA

Hutchinson, Shockey, Erley & Co. (CRD# 2261)
Chicago, IL

Kenmar Securities, LLC (CRD# 171793)
New York, NY

Regulus Advisors, LLC (CRD# 150631)
Kentwood, MI

Investment Advisers Initially Registered in October 2014

LaFargue Financial Group, Inc. (CRD# 120867)
Fayetteville, AR

Investment Advisers Initially Making Notice Filing in October 2014

12th Street Asset Management (CRD# 153528)
Chicago, IL

AllianceBernstein Private Credit Investors LLC (CRD# 173027)
New York, NY

American Financial Advisors Inc. (CRD# 108530)
Orlando, FL

BP Wealth Management (CRD# 172832)
Boston, MA

Summit Financial Resources Inc. (CRD# 104990)
Parsippany, NJ