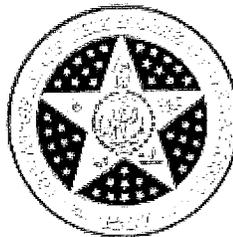


IRVING L. FAUGHT
ADMINISTRATOR



MARY FALLIN
GOVERNOR

STATE OF OKLAHOMA
DEPARTMENT OF SECURITIES

MEMORANDUM

To: Irving L. Faught, Administrator
From: Carol Gruis, Director of Examinations
Date: 6/4/2012
Re: FIRMS AND PROFESSIONALS REPORT

Attached is a report of the applications processed, as of May 31, 2012, for firms and professionals seeking to do business in Oklahoma.

Attachment

Oklahoma Department of Securities
Firms and Professionals Division
May 2012

	As of May 31, 2012
Broker-Dealers	
FINRA Broker-Dealers Registered	1,542
Non-FINRA Broker-Dealers Registered	1
Broker-Dealers - Pending Applications	2
Total Broker-Dealers	1,545
Investment Adviser Firms	
Registered Investment Adviser Firms	133
Registered Investment Adviser Firms - Pending Applications	23
Total Registered and Pending IA Firms	156
Notice-Listed Investment Adviser Firms	983
Notice-Listed Investment Adviser Firms - Pending Applications	2
Total Notice-Listed IA Firms	985
Total Investment Adviser Firms	1,141
Investment Adviser Representatives	
Registered Investment Adviser Reps.	4,563
Registered Investment Adviser Reps.- Pending Applications	10
Total Investment Adviser Reps.	4,573
For the Month of May 2012	
Broker-Dealers initially Registered in May 2012	3
Investment Advisers initially Registered in May 2012	6
Investment Advisers initially Notice-Listed in May 2012	3
FINRA Broker-Dealer Agents Registered as of May 31, 2012	100,446
FINRA Broker-Dealer Agents Registered as of April 30, 2012	100,110
FINRA Broker-Dealer Agents Registered as of May 31, 2011	97,027
FINRA Broker-Dealer Agents accepted through the CRD in May 2012	1,865
Issuer Agents registered as of May 31, 2012	117

Broker-Dealers Initially Registered in May 2012

AIG Global Capital Markets Securities, LLC (CRD# 157767)
New York, NY

Brookline Group, LLC (CRD# 153587)
Birmingham, AL

HLH Securities, Inc. (CRD# 23326)
Newport Coast, CA

Investment Advisers Initially Registered in May 2012

American Elite Retirement (CRD# 152499)
West Des Moines, IA

Berk Dynamic Investments LLC (CRD# 161444)
Ada, OK

Cornerstone Securities LLC (CRD# 140379)
Overland Park, KS

Main Street Investment Management (CRD# 161452)
Edmond, OK

Ward Wealth Management Services, Inc. (CRD# 117810)
Stillwater, OK

Wealth Advisors, L.L.C. (CRD# 131248)
Tulsa, OK

Investment Advisers Initially Making Notice Filing in May 2012

Avalon Advisors LLC (CRD# 112556)
Houston, TX

CAI Acquisition, Inc. (CRD# 162200)
Wyncote, PA

Signature Investment Advisors, LLC (CRD# 160715)
Los Angeles, CA