

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: 3/5/2012
Re: FIRMS AND PROFESSIONALS REPORT

Attached is a report of the applications processed, as of February 29, 2012, for firms and professionals seeking to do business in Oklahoma.

Attachment

Oklahoma Department of Securities
Firms and Professionals Division
February 2012

As of
February 29, 2012

Broker-Dealers

FINRA Broker-Dealers Registered	1,548	
Non-FINRA Broker-Dealers Registered	1	
Broker-Dealers - Pending Applications	13	
Total Broker-Dealers		1,562

Investment Adviser Firms

Registered Investment Adviser Firms	128	
Registered Investment Adviser Firms - Pending Applications	12	
Total Registered and Pending IA Firms		140
Notice-Listed Investment Adviser Firms	948	
Notice-Listed Investment Adviser Firms - Pending Applications	4	
Total Notice-Listed IA Firms		952
Total Investment Adviser Firms		1,092

Investment Adviser Representatives

Registered Investment Adviser Reps.	4,644	
Registered Investment Adviser Reps.- Pending Applications	35	
Total Investment Adviser Reps.		4,679

For the Month of February 2012

Broker-Dealers initially Registered in February 2012		12
Investment Advisers initially Registered in February 2012		3
Investment Advisers initially Notice-Listed in February 2012		5
FINRA Broker-Dealer Agents Registered as of February 29, 2012		98,920
FINRA Broker-Dealer Agents Registered as of January 31, 2012		98,343
FINRA Broker-Dealer Agents Registered as of February 29, 2011		93,443
FINRA Broker-Dealer Agents accepted through the CRD in February 2012		1,667
Issuer Agents registered as of February 29, 2012		116

Broker-Dealers Initially Registered in February 2012

Cary Street Partners LLC (CRD# 128089)
Richmond, VA

Code Advisors LLC (CRD# 153192)
San Francisco, CA

DLX Financial Group, LLC (CRD# 158690)
Medford, OR

Financial Security Management, Incorporated (CRD# 43000)
Virginia Beach, VA

Forefront Capital Markets LLC (CRD# 151812)
New York, NY

Lasalle Investment Management Distributors, LLC (CRD# 157625)
Chicago, IL

Reva Capital Markets LLC (CRD# 105791)
New York, NY

Samons Financial Network, LLC (CRD# 158538)
West Des Moines, IA

Sharespost Financial Corporation (CRD# 134596)
San Mateo, CA

Towerbrook Financial, L.P. (CRD# 155535)
New York, NY

W. H. Mell Associates, Inc. (CRD# 23635)
Summit, NJ

Wilmington Capital Securities, LLC (CRD# 133839)
Garden City, NY

Investment Advisers Initially Registered in February 2012

Leap Wealth Management (CRD# 152253)
Dallas, TX

Mutual Fund Store (CRD# 159782)
Plano, TX

Servo Portfolio Management LLC (CRD# 159367)
Oklahoma City, OK

Investment Advisers Initially Making Notice Filing in February 2012

AssetBuilder, Inc. (CRD# 142665)
Plano, TX

Independent Financial Group, LLC (CRD# 7717)
San Diego, CA

Monticello Investment Services, Inc. (CRD# 140851)
Joplin, MO

Stralem & Co. Inc. (CRD# 3524)
New York, NY

U.S. Bancorp Investments, Inc. (CRD# 17868)
Saint Paul, MN