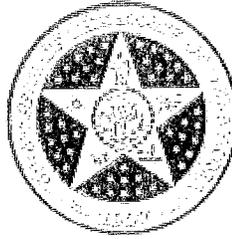


IRVING L. FAUGHT
ADMINISTRATOR



MARY FALLIN
GOVERNOR

STATE OF OKLAHOMA
DEPARTMENT OF SECURITIES

MEMORANDUM

To: Irving L. Faught, Administrator
From: Carol Gruis, Director of Examinations
Date: 2/2/2012
Re: FIRMS AND PROFESSIONALS REPORT

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

Attachment

Oklahoma Department of Securities
Firms and Professionals Division
January 2012

As of
January 31, 2012

Broker-Dealers	
FINRA Broker-Dealers Registered	1,542
Non-FINRA Broker-Dealers Registered	1
Broker-Dealers - Pending Applications	9
Total Broker-Dealers	1,552
Investment Adviser Firms	
Registered Investment Adviser Firms	126
Registered Investment Adviser Firms - Pending Applications	7
Total Registered and Pending IA Firms	133
Notice-Listed Investment Adviser Firms	943
Notice-Listed Investment Adviser Firms - Pending Applications	1
Total Notice-Listed IA Firms	944
Total Investment Adviser Firms	1,077
Investment Adviser Representatives	
Registered Investment Adviser Reps.	4,657
Registered Investment Adviser Reps.- Pending Applications	29
Total Investment Adviser Reps.	4,686
For the Month of January 2012	
Broker-Dealers initially Registered in January 2012	18
Investment Advisers initially Registered in January 2012	0
Investment Advisers initially Notice-Listed in January 2012	8
FINRA Broker-Dealer Agents Registered as of January 31, 2012	98,343
FINRA Broker-Dealer Agents Registered as of December 31, 2011	95,956
FINRA Broker-Dealer Agents Registered as of January 31, 2011	92,308
FINRA Broker-Dealer Agents accepted through the CRD in January 2012	3,645
Issuer Agents registered as of January 31, 2012	111

Broker-Dealers Initially Registered in January 2012

Ally Securities LLC (CRD# 25988)
New York, NY

Arden Securities LLC (CRD# 143809)
Portland, ME

BA Securities, LLC (CRD# 153489)
Ardmore, PA

Bostonia Global Securities, LLC (CRD# 128212)
Boston, MA

CNS Securities, LLC (CRD# 130029)
Richardson, TX

Colorado Financial Service Corporation (CRD# 104343)
Centennial, CO

Craig Scott Capital, LLC (CRD# 155924)
Babylon, NY

First American Securities, Inc. (CRD# 35841)
Minneapolis, MN

George K. Baum Capital Advisors, Inc. (CRD# 158813)
Kansas City, MO

Grandview Capital, Inc. (CRD# 144403)
Fort Lauderdale, FL

Hancock Investment Services, Inc. (CRD# 40637)
Baton Rouge, LA

ICD Securities Inc. (CRD# 134910)
Miami, FL

Interbolsa Securities, LLC (CRD# 150715)
Miami, FL

Kansas City Brokerage, Inc. (CRD# 32383)
Overland Park, KS

Marathon Financial Group, Inc. (CRD# 41181)
Chicago, IL

NLCG Distributors, LLC (CRD# 156263)
Denver, CO

Tullett Prebon Financial Services LLC (CRD# 28196)
Jersey City, NJ

VCAP Securities, LLC (CRD# 124515)
Richardson, TX

Investment Advisers Initially Registered in January 2012

No new Registered IA's for this period

Investment Advisers Initially Making Notice Filing in January 2012

CWM, LLC (CRD# 155344)
Omaha, NE

Chilton Private Clients, LLC (CRD# 159306)
Stamford, CT

Concert Wealth Management, Inc. (CRD# 141253)
San Jose, CA

Financial West Group (CRD# 16668)

Thousand Oaks, CA

ICM Asset Management, Inc. (CRD# 105046)
Spokane, WA

JLTD Advisors, LLC (CRD# 153690)
Chicago, IL

RBC Private Counsel (USA) Inc. (CRD# 109648)
Toronto, ON M5V 3K7 Canada,

Rhoads Lucca Capital Management, Inc. (CRD# 105214)
Dallas, TX