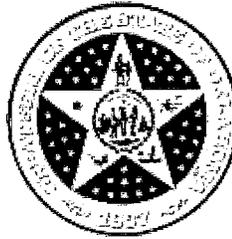


IRVING L. FAUGHT
ADMINISTRATOR



MARY FALLIN
GOVERNOR

STATE OF OKLAHOMA
DEPARTMENT OF SECURITIES

MEMORANDUM

To: Irving L. Faught, Administrator
From: Carol Gruis, Director of Examinations
Date: 1/2/2013
Re: FIRMS AND PROFESSIONALS REPORT

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

Attachment

Oklahoma Department of Securities
Firms and Professionals Division
December 2012

As of
December 31, 2012

Broker-Dealers

FINRA Broker-Dealers Registered	1,536	
Non-FINRA Broker-Dealers Registered	1	
Broker-Dealers - Pending Applications	2	
Total Broker-Dealers		1,539

Investment Adviser Firms

Registered Investment Adviser Firms	153	
Registered Investment Adviser Firms - Pending Applications	6	
Total Registered and Pending IA Firms		159
Notice-Listed Investment Adviser Firms	968	
Notice-Listed Investment Adviser Firms - Pending Applications	1	
Total Notice-Listed IA Firms		969
Total Investment Adviser Firms		1,128

Investment Adviser Representatives

Registered Investment Adviser Reps.	4,506	
Registered Investment Adviser Reps.- Pending Applications	8	
Total Investment Adviser Reps.		4,514

For the Month of December 2012

Broker-Dealers initially Registered in December 2012		2
Investment Advisers initially Registered in December 2012		0
Investment Advisers initially Notice-Listed in December 2012		3
FINRA Broker-Dealer Agents Registered as of December 31, 2012		96,808
FINRA Broker-Dealer Agents Registered as of November 30, 2012		102,678
FINRA Broker-Dealer Agents Registered as of December 31, 2011		95,956
FINRA Broker-Dealer Agents accepted through the CRD in December 2012		921
Issuer Agents registered as of December 31, 2012		109

Broker-Dealers Initially Registered in December 2012

R.M. Duncan Securities, Inc. (CRD# 14344)
Little Rock, AR

Stonehaven, LLC (CRD# 118913)
New York, NY

Investment Advisers Initially Registered in December 2012

No new Registered IA's for this period

Investment Advisers Initially Making Notice Filing in December 2012

Covestor Ltd (CRD# 145694)
Boston, MA

Nuance Investments, LLC (CRD# 148534)
Kansas City, MO

R.T. Jones Capital Equities Management Inc. (CRD# 131804)
St. Louis, MO