

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: 12/3/2012
Re: FIRMS AND PROFESSIONALS REPORT

Attached is a report of the applications processed, as of November 30, 2012, for firms and professionals seeking to do business in Oklahoma.

Attachment

Oklahoma Department of Securities
Firms and Professionals Division
November 2012

As of
November 30, 2012

Broker-Dealers

FINRA Broker-Dealers Registered	1,547	
Non-FINRA Broker-Dealers Registered	1	
Broker-Dealers - Pending Applications	4	
Total Broker-Dealers		1,552

Investment Adviser Firms

Registered Investment Adviser Firms	156	
Registered Investment Adviser Firms - Pending Applications	5	
Total Registered and Pending IA Firms		161
Notice-Listed Investment Adviser Firms	968	
Notice-Listed Investment Adviser Firms - Pending Applications	1	
Total Notice-Listed IA Firms		969
Total Investment Adviser Firms		1,130

Investment Adviser Representatives

Registered Investment Adviser Reps.	4,626	
Registered Investment Adviser Reps.- Pending Applications	16	
Total Investment Adviser Reps.		4,642

For the Month of November 2012

Broker-Dealers initially Registered in November 2012		4
Investment Advisers initially Registered in November 2012		2
Investment Advisers initially Notice-Listed in November 2012		6
FINRA Broker-Dealer Agents Registered as of November 30, 2012		102,678
FINRA Broker-Dealer Agents Registered as of October 31, 2012		102,674
FINRA Broker-Dealer Agents Registered as of November 30, 2011		102,582
FINRA Broker-Dealer Agents accepted through the CRD in November 2012		1,414
Issuer Agents registered as of November 30, 2012		109

Broker-Dealers Initially Registered in November 2012

American Financial Securities, Inc. (CRD# 111856)
Cedar Falls, IA

Brookfield Private Advisors LLC (CRD# 151423)
New York, NY

CertusSecurities, Inc. (CRD# 144051)
Atlanta, GA

Forest Securities, Inc. (CRD# 16255)
Chicago, IL

Investment Advisers Initially Registered in November 2012

Gibbs Investing, LLC (CRD# 164720)
Tulsa, OK

United Tax and Estate Planning (CRD# 165304)
Oklahoma City, OK

Investment Advisers Initially Making Notice Filing in November 2012

Financial and Investment Management Advisors, Inc. (CRD# 109867)
Covington, LA

McAdams Wright Ragen, Inc. (CRD# 45899)
Seattle, WA

Protected Investors of America (CRD# 6082)
San Francisco, CA

Regatta Research & Money Management L.L.C. (CRD# 113181)
Metairie, LA

Wilshire Associates Incorporated (CRD# 6210)
Santa Monica, CA

Wood Investment Counsel, LLC (CRD# 165339)
Denver, CO