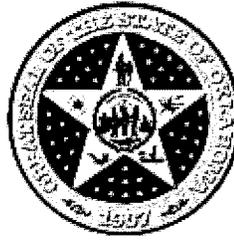


IRVING L. FAUGHT  
ADMINISTRATOR



MARY FALLIN  
GOVERNOR

STATE OF OKLAHOMA  
DEPARTMENT OF SECURITIES

**MEMORANDUM**

**To:** Irving L. Faught, Administrator  
**From:** Carol Gruis, Director of Examinations  
**Date:** 11/1/2012  
**Re:** FIRMS AND PROFESSIONALS REPORT

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

Attachment

**Oklahoma Department of Securities**  
**Firms and Professionals Division**  
**October 2012**

As of  
**October 31, 2012**

**Broker-Dealers**

FINRA Broker-Dealers Registered	1,554	
Non-FINRA Broker-Dealers Registered	1	
Broker-Dealers - Pending Applications	9	
<b>Total Broker-Dealers</b>		<b>1,564</b>

**Investment Adviser Firms**

Registered Investment Adviser Firms	156	
Registered Investment Adviser Firms - Pending Applications	6	
<b>Total Registered and Pending IA Firms</b>		<b>162</b>
Notice-Listed Investment Adviser Firms	963	
Notice-Listed Investment Adviser Firms - Pending Applications	2	
<b>Total Notice-Listed IA Firms</b>		<b>965</b>
<b>Total Investment Adviser Firms</b>		<b>1,127</b>

**Investment Adviser Representatives**

Registered Investment Adviser Reps.	4,632	
Registered Investment Adviser Reps.- Pending Applications	10	
<b>Total Investment Adviser Reps.</b>		<b>4,642</b>

**For the Month of October 2012**

Broker-Dealers initially Registered in October 2012		9
Investment Advisers initially Registered in October 2012		2
Investment Advisers initially Notice-Listed in October 2012		1
FINRA Broker-Dealer Agents Registered as of October 31, 2012		102,674
FINRA Broker-Dealer Agents Registered as of September 30, 2012		102,316
FINRA Broker-Dealer Agents Registered as of October 31, 2011		102,279
FINRA Broker-Dealer Agents accepted through the CRD in October 2012		2,411
Issuer Agents registered as of October 31, 2012		117

## **Broker-Dealers Initially Registered in October 2012**

**Abbey Capital (US) LLC** (CRD# 147760)  
New York, NY

**Advisory Group Equity Services Ltd.** (CRD# 15427)  
Woburn, MA

**Great Pacific Securities** (CRD# 29251)  
Costa Mesa, CA

**Marshberry Capital, Inc.** (CRD# 157384)  
Willoughby, OH

**S F Sentry Securities, Inc.** (CRD# 27432)  
San Francisco, CA

**SFA Financial, LLC** (CRD# 149647)  
Greenville, SC

**SOFI Securities LLC** (CRD# 151717)  
New York, NY

**Topeka Capital Markets Inc.** (CRD# 154133)  
New York, NY

**Westor Capital Group, Inc.** (CRD# 103823)  
Herkimer, NY

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## **Investment Advisers Initially Registered in October 2012**

**First Investment Corporation** (CRD# 110972)  
Bartlesville, OK

**RBK Capital, LLC** (CRD# 165031)  
Oklahoma City, OK

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## **Investment Advisers Initially Making Notice Filing in October 2012**

**Nestwise LLC** (CRD# 164466)  
Boston, MA