

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:** 8/1/2013  
**Re:** FIRMS AND PROFESSIONALS REPORT

Attached is a report of the applications processed, as of July 31, 2013, for firms and professionals seeking to do business in Oklahoma.

Attachment

**Oklahoma Department of Securities**  
**Firms and Professionals Division**  
**July 2013**

As of  
July 31, 2013

**Broker-Dealers**

FINRA Broker-Dealers Registered	1,530	
Non-FINRA Broker-Dealers Registered	1	
Broker-Dealers - Pending Applications	5	
<b>Total Broker-Dealers</b>		<b>1,536</b>

**Investment Adviser Firms**

Registered Investment Adviser Firms	158	
Registered Investment Adviser Firms - Pending Applications	3	
<b>Total Registered and Pending IA Firms</b>		<b>161</b>
Notice-Listed Investment Adviser Firms	980	
Notice-Listed Investment Adviser Firms - Pending Applications	0	
<b>Total Notice-Listed IA Firms</b>		<b>980</b>
<b>Total Investment Adviser Firms</b>		<b>1,141</b>

**Investment Adviser Representatives**

Registered Investment Adviser Reps.	4,674	
Registered Investment Adviser Reps. - Pending Applications	6	
<b>Total Investment Adviser Reps.</b>		<b>4,680</b>

**For the Month of July 2013**

Broker-Dealers initially Registered in July 2013		4
Investment Advisers initially Registered in July 2013		2
Investment Advisers initially Notice-Listed in July 2013		1
FINRA Broker-Dealer Agents Registered as of July 31, 2013		103,243
FINRA Broker-Dealer Agents Registered as of June 30, 2013		102,564
FINRA Broker-Dealer Agents Registered as of July 31, 2012		101,101
FINRA Broker-Dealer Agents accepted through the CRD in July 2013		2,019
Issuer Agents registered as of July 31, 2013		108

### **Broker-Dealers Initially Registered in July 2013**

**Aligned Manager Services LLC (CRD# 148231)**  
Stamford, CT

**McNally Financial Services Corporation (CRD# 121196)**  
San Antonio, TX

**REDI Global Technologies LLC (CRD# 41924)**  
New York, NY

**Stillpoint Capital, LLC (CRD# 133146)**  
Tampa, FL

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### **Investment Advisers Initially Registered in July 2013**

**Burnett Financial Group (CRD# 167814)**  
Edmond, OK

**Trilogy Financial Solutions (CRD# 168104)**  
Moore, OK

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### **Investment Advisers Initially Making Notice Filing in July 2013**

**Lockton Investment Advisors, LLC (CRD# 144133)**  
Kansas City, MO