

IRVING L. FAUGHT  
ADMINISTRATOR



MARY FALLIN  
GOVERNOR

STATE OF OKLAHOMA  
DEPARTMENT OF SECURITIES

**MEMORANDUM**

**To:** Irving L. Faight, Administrator  
**From:** Carol Gruis, Director of Examinations  
**Date:** 5/1/2013  
**Re:** FIRMS AND PROFESSIONALS REPORT

Attached is a report of the applications processed, as of April 30, 2013, for firms and professionals seeking to do business in Oklahoma.

Attachment

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

	As of April 30, 2013
<b>Broker-Dealers</b>	
FINRA Broker-Dealers Registered	1,529
Non-FINRA Broker-Dealers Registered	1
Broker-Dealers - Pending Applications	10
<b>Total Broker-Dealers</b>	<b>1,540</b>
<b>Investment Adviser Firms</b>	
Registered Investment Adviser Firms	158
Registered Investment Adviser Firms - Pending Applications	1
<b>Total Registered and Pending IA Firms</b>	<b>159</b>
Notice-Listed Investment Adviser Firms	966
Notice-Listed Investment Adviser Firms - Pending Applications	1
<b>Total Notice-Listed IA Firms</b>	<b>967</b>
<b>Total Investment Adviser Firms</b>	<b>1,126</b>
<b>Investment Adviser Representatives</b>	
Registered Investment Adviser Reps.	4,623
Registered Investment Adviser Reps. - Pending Applications	9
<b>Total Investment Adviser Reps.</b>	<b>4,632</b>
<b>For the Month of April 2013</b>	
Broker-Dealers initially Registered in April 2013	10
Investment Advisers initially Registered in April 2013	1
Investment Advisers initially Notice-Listed in April 2013	10
FINRA Broker-Dealer Agents Registered as of April 30, 2013	101,666
FINRA Broker-Dealer Agents Registered as of March 31, 2013	101,092
FINRA Broker-Dealer Agents Registered as of April 30, 2012	100,110
FINRA Broker-Dealer Agents accepted through the CRD in April 2013	1,896
Issuer Agents registered as of April 30, 2013	106

## Broker-Dealers Initially Registered in April 2013

Coastal Equities, Inc. (CRD# 23769)  
Wilmington, DE

Dalton Strategic Investment Services Inc. (CRD# 23485)  
Knightstown, IN

Helvea Inc. (CRD# 132007)  
New York, NY

Indian Harbor, LLC (CRD# 115584)  
Cos Cob, CT

KLR Group, LLC (CRD# 165586)  
New York, NY

Martinez-Ayme Securities (CRD# 109838)  
Miami, FL

Mercap Securities, LLC (CRD# 156607)  
Berwyn, PA

New Rye Securities, LLC (CRD# 165400)  
Rye, NY

Scarsdale Equities LLC (CRD# 134602)  
New York, NY

XFA Securities, LLC (CRD# 147909)  
New York, NY

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## Investment Advisers Initially Registered in April 2013

Acorn Growth Companies, LC (CRD# 164499)  
Midwest City, OK

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## Investment Advisers Initially Making Notice Filing in April 2013

Aegis Capital Corp. (CRD# 15007)  
New York, NY

Dimensional Fund Advisors LP (CRD# 106482)  
Austin, TX

Foresters Equity Services, Inc. (CRD# 18464)  
San Diego, CA

GW & Wade, LLC (CRD# 105394)  
Wellesley, MA

Johnston & Associates Inc. (CRD# 106048)  
Denver, CO

Laffer Investments Inc. (CRD# 108068)  
Nashville, TN

Private Advisor Group, LLC (CRD# 155216)  
Morristown, NJ

TD Private Client Wealth LLC (CRD# 164484)  
New York, NY

UnionBanc Investment Services, LLC (CRD# 14455)  
Los Angeles, CA

Wealthfront (CRD# 148456)  
Palo Alto, CA