

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: 11/4/2013
Re: FIRMS AND PROFESSIONALS REPORT

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

Attachment

Oklahoma Department of Securities
Firms and Professionals Division
October 2013

As of
October 31, 2013

Broker-Dealers

FINRA Broker-Dealers Registered	1,531	
Non-FINRA Broker-Dealers Registered	1	
Broker-Dealers - Pending Applications	5	
Total Broker-Dealers		1,537

Investment Adviser Firms

Registered Investment Adviser Firms	158	
Registered Investment Adviser Firms - Pending Applications	5	
Total Registered and Pending IA Firms		163
Notice-Listed Investment Adviser Firms	998	
Notice-Listed Investment Adviser Firms - Pending Applications	2	
Total Notice-Listed IA Firms		1,000
Total Investment Adviser Firms		1,163

Investment Adviser Representatives

Registered Investment Adviser Reps.	4,703	
Registered Investment Adviser Reps.- Pending Applications	5	
Total Investment Adviser Reps.		4,708

For the Month of October 2013

Broker-Dealers initially Registered in October 2013		6
Investment Advisers initially Registered in October 2013		0
Investment Advisers initially Notice-Listed in October 2013		5
FINRA Broker-Dealer Agents Registered as of October 31, 2013		105,763
FINRA Broker-Dealer Agents Registered as of September 30, 2013		105,028
FINRA Broker-Dealer Agents Registered as of October 31, 2012		102,674
FINRA Broker-Dealer Agents accepted through the CRD in October 2013		2,052
Issuer Agents registered as of October 31, 2013		107

Broker-Dealers Initially Registered in October 2013

Adirondack Trading Group LLC (CRD# 103910)
New Woodstock, NY

Atel Securities Corporation (CRD# 17229)
San Francisco, CA

Crowell Weedon & Co. (CRD# 168622)
Los Angeles, CA

Freedon investors Corp. (CRD# 23714)
Brookfield, WI

Growthpoint Technology Partners, LLC (CRD# 137438)
Palo Alto, CA

Nikko Securities America, Inc. (CRD# 28602)
New York, NY

Investment Advisers Initially Registered in October 2013

No new Registered IA's for this period

Investment Advisers Initially Making Notice Filing in October 2013

Atherton Lane Advisers, LLC (CRD# 134090)
Menlo Park, CA

Edge Asset Management, Inc. (CRD# 104565)
Seattle, WA

MoneyGuide Advisory, LLC (CRD# 169255)
Powhatan, VA

VisionPoint Advisory Group (CRD# 168733)
West Des Moines, IA

Western International Securities, Inc. (CRD# 39262)
Pasadena, CA