

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:** 9/2/2014  
**Re:** FIRMS AND PROFESSIONALS REPORT

Attached is a report of the applications processed, as of August 31, 2014, for firms and professionals seeking to do business in Oklahoma.

Attachment

**Oklahoma Department of Securities**  
**Firms and Professionals Division**  
**August 2014**

As of  
August 31, 2014

**Broker-Dealers**

FINRA Broker-Dealers Registered	1,509	
Non-FINRA Broker-Dealers Registered	1	
Broker-Dealers - Pending Applications	5	
<b>Total Broker-Dealers</b>		<b>1,515</b>

**Investment Adviser Firms**

Registered Investment Adviser Firms	152	
Registered Investment Adviser Firms - Pending Applications	5	
<b>Total Registered and Pending IA Firms</b>		<b>157</b>
Notice-Listed Investment Adviser Firms	1,023	
Notice-Listed Investment Adviser Firms - Pending Applications	0	
<b>Total Notice-Listed IA Firms</b>		<b>1,023</b>
<b>Total Investment Adviser Firms</b>		<b>1,180</b>

**Investment Adviser Representatives**

Registered Investment Adviser Reps.	4,738	
Registered Investment Adviser Reps.- Pending Applications	2	
<b>Total Investment Adviser Reps.</b>		<b>4,740</b>

**For the Month of August 2014**

Broker-Dealers initially Registered in August 2014		4
Investment Advisers initially Registered in August 2014		5
Investment Advisers initially Notice-Listed in August 2014		4
FINRA Broker-Dealer Agents Registered as of August 31, 2014		108,928
FINRA Broker-Dealer Agents Registered as of July 31, 2014		108,331
FINRA Broker-Dealer Agents Registered as of August 31, 2013		104,043
FINRA Broker-Dealer Agents accepted through the CRD in August 2014		1,851
Issuer Agents registered as of August 31, 2014		104

## **Broker-Dealers Initially Registered in August 2014**

**Assetmark Brokerage, LLC** (CRD# 169804)  
Concord, CA

**Park Hill Group LLC** (CRD# 135898)  
New York, NY

**Shopoff Securities, Inc.** (CRD# 142866)  
Irvine, CA

**Trump Securities, LLC** (CRD# 47107)  
New York, NY

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## **Investment Advisers Initially Registered in August 2014**

**Dominion Portfolio Management, Inc.** (CRD# 106918)  
Horseshoe Bay, TX

**Entrust Parable Capital, LLC** (CRD# 172248)  
Edmond, OK

**Freedom Wealth Solutions, Inc.** (CRD# 151018)  
Wichita, KS

**Midwest Financial** (CRD# 169855)  
Glidden, IA

**Watkins and Associates Investment Services, LLC** (CRD# 171624)  
Tulsa, OK

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## **Investment Advisers Initially Making Notice Filing in August 2014**

**360 Wealth Management, LLC** (CRD# 164109)  
Dallas, TX

**Chickasaw Capital Management, LLC** (CRD# 127398)  
Memphis, TN

**Hansberger Growth Investors, LP** (CRD# 171295)  
Madison, WI

**Ziegler Capital Management, LLC** (CRD# 135622)  
Chicago, IL