

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: 7/1/2014
Re: FIRMS AND PROFESSIONALS REPORT

Attached is a report of the applications processed, as of June 30, 2014, for firms and professionals seeking to do business in Oklahoma.

Attachment

Oklahoma Department of Securities
Firms and Professionals Division
June 2014

As of
June 30, 2014

Broker-Dealers

FINRA Broker-Dealers Registered	1,503	
Non-FINRA Broker-Dealers Registered	1	
Broker-Dealers - Pending Applications	8	
	Total Broker-Dealers	1,512

Investment Adviser Firms

Registered Investment Adviser Firms	165	
Registered Investment Adviser Firms - Pending Applications	8	
	Total Registered and Pending IA Firms	173
Notice-Listed Investment Adviser Firms	1,013	
Notice-Listed Investment Adviser Firms - Pending Applications	2	
	Total Notice-Listed IA Firms	1,015
	Total Investment Adviser Firms	1,188

Investment Adviser Representatives

Registered Investment Adviser Reps.	4,682	
Registered Investment Adviser Reps.- Pending Applications	6	
	Total Investment Adviser Reps.	4,688

For the Month of June 2014

Broker-Dealers initially Registered in June 2014		9
Investment Advisers initially Registered in June 2014		2
Investment Advisers initially Notice-Listed in June 2014		5
FINRA Broker-Dealer Agents Registered as of June 30, 2014		107,565
FINRA Broker-Dealer Agents Registered as of May 31, 2014		106,828
FINRA Broker-Dealer Agents Registered as of June 30, 2013		102,564
FINRA Broker-Dealer Agents accepted through the CRD in June 2014		2,087
Issuer Agents registered as of June 30, 2014		103

Broker-Dealers Initially Registered in June 2014

First Standard Financial Company LLC (CRD# 168340)
New York, NY

FNBB Capital Markets, LLC (CRD# 132091)
Birmingham, AL

G.X. Clarke & Co. (CRD# 19764)
Jersey City, NJ

Glassratner Securities, LLC (CRD# 165594)
Irvine, CA

Hovde Group, LLC (CRD# 25425)
Inverness, IL

Oakbridge Financial Services (CRD# 16323)
Kirkwood, MO

Odeon Capital Group LLC (CRD# 148493)
New York, NY

Stockpile Investments, Inc. (CRD# 156170)
Palo Alto, CA

Winklevoss Insurance Agency, LLC (CRD# 39081)
Greenwich, CT

Investment Advisers Initially Registered in June 2014

FG Wealth Management (CRD# 117845)
Bartlesville, OK

Radix Financial, LLC (CRD# 171159)
Oklahoma City, OK

Investment Advisers Initially Making Notice Filing in June 2014

Arbor Point Advisors (CRD# 165127)
Lavista, NE

Investnet Retirement Solutions, LLC (CRD# 171570)
Chicago, IL

First Financial Equity Corporation (CRD# 16507)
Scottsdale, AZ

Magnolia Group, LLC (CRD# 171102)
Tulsa, OK

Maryland Capital Management, LLC (CRD# 133329)
Baltimore, MD