

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: *March 11, 2015*

Re: **EXAMINATION REPORT**

Attached hereto please find the report of the on-site examinations for the months ended January and February, 2015.

Attachment

Examinations Division
For The Period
January 1, 2015 to February 28, 2015

| On-Site Exams Started | | BD | IA | Combined |
|---|--|-----------|-----------|-----------------|
| Total Exams Started | | 0 | 1 | 1 |
| On-Site Exams Completed | | BD | IA | Combined |
| Started and Completed During The Current Period | | 0 | 0 | 0 |
| Started In A Prior Period and Completed During The Current Period | | 0 | 1 | 1 |
| Referred to Enforcement Division | | 1 | 0 | 1 |
| Total Exams Completed | | <u>1</u> | <u>1</u> | <u>2</u> |
| On-Site Exams Still Open | | BD | IA | Combined |
| Started During The Current Period | | 0 | 1 | 1 |
| Started During A Prior Period | | 7 | 12 | 19 |
| Total Still Open | | <u>7</u> | <u>13</u> | <u>20</u> |
| | | BD | IA | Combined |
| % of registrants examined during current period | | 0% | 0% | 0% |
| % of registrants against whom final action was taken during current period | | 0.05% | 0.36% | 0.41% |
| % of registrants examined against whom final action was taken during current period | | 0% | 0% | 0% |

NonBranch Sales Office Exam Questionnaires

Total Reviewed **0**

On-Site Exam Aging

| Days | Still Open | Completed |
|---------------|-------------------|------------------|
| 0-30 | 1 | 0 |
| 31-60 | 0 | 0 |
| 61-90 | 2 | 0 |
| Over 90 | 17 | 2 |
| Totals | 20 | 2 |

Examinations Division
For The Period
January 1, 2015 to February 28, 2015

1 On-Site Exams Started but not Completed During Period

| IA/BD | Firm Name | Date Started |
|-------|---|--------------|
| IA | STEPHEN H. MCDONALD & ASSOCIATES, INC. 2200 McKown Drive NORMAN, OK | 2/11/2015 |

2 On-Site Exams Completed During Period

| IA/BD | Firm Name | Date Started | Date Completed |
|-------|--|--------------|----------------|
| BD | CETERA ADVISORS, LLC * 2100 S. UTICA TULSA, OK | 10/28/2013 | 1/29/2015 |
| IA | COACHWISE FINANCIAL SOLUTIONS LLC 4500 S. GARNETT, SUITE 920 TULSA, OK | 8/13/2014 | 2/4/2015 |

* Referred to Enforcement