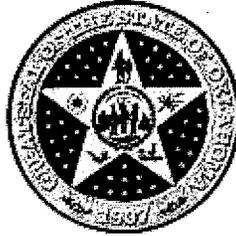


IRVING L. FAUGHT
ADMINISTRATOR



MARY FALLIN
GOVERNOR

STATE OF OKLAHOMA
DEPARTMENT OF SECURITIES

MEMORANDUM

To: Irving L. Faught, Administrator
From: Carol Gruis, Director of Examinations
Date: 2/2/2015
Re: FIRMS AND PROFESSIONALS REPORT

Attached is a report of the applications processed, as of January 31, 2015, for firms and professionals seeking to do business in Oklahoma.

Attachment

Oklahoma Department of Securities
Firms and Professionals Division
January 2015

As of
January 31, 2015

Broker-Dealers

FINRA Broker-Dealers Registered	1,481	
Non-FINRA Broker-Dealers Registered	1	
Broker-Dealers - Pending Applications	12	
	Total Broker-Dealers	1,494

Investment Adviser Firms

Registered Investment Adviser Firms	159	
Registered Investment Adviser Firms - Pending Applications	11	
	Total Registered and Pending IA Firms	170
Notice-Listed Investment Adviser Firms	1,034	
Notice-Listed Investment Adviser Firms - Pending Applications	2	
	Total Notice-Listed IA Firms	1,036
	Total Investment Adviser Firms	1,206

Investment Adviser Representatives

Registered Investment Adviser Reps.	4,676	
Registered Investment Adviser Reps.- Pending Applications	5	
	Total Investment Adviser Reps.	4,681

For the Month of January 2015

Broker-Dealers initially Registered in January 2015		10
Investment Advisers initially Registered in January 2015		4
Investment Advisers initially Notice-Listed in January 2015		7
FINRA Broker-Dealer Agents Registered as of January 31, 2015		108,546
FINRA Broker-Dealer Agents Registered as of December 31, 2014		105,484
FINRA Broker-Dealer Agents Registered as of January 31, 2014		104,320
FINRA Broker-Dealer Agents accepted through the CRD in January 2015		4,438
Issuer Agents registered as of January 31, 2015		105

Broker-Dealers Initially Registered in January 2015

Bruderman Brothers LLC (CRD# 47957)
Suffern, NY

Constellation Wealth Advisors LLC (CRD# 142502)
New York, NY

Dempsey Lord Smith, LLC (CRD# 141238)
Rome, GA

Equis Financial Consulting LLC (CRD# 131449)
New Caanan, CT

Funding Circle Securities LLC (CRD# 149479)
San Francisco, CA

Incapital Insurance Services, LLC (CRD# 156622)
Chicago, IL

Mason Capital Group, LLC (CRD# 170943)
New York, NY

McLaughlin Ryder Investments, Inc. (CRD# 147529)
Alexandria, VA

NPM Securities, LLC (CRD# 168469)
San Francisco, CA

Orbis Investments (U.S.), LLC (CRD# 172663)
Portland, ME

Investment Advisers Initially Registered in January 2015

A Smarter Way to Invest, Inc. (CRD# 166170)
Brighton, MI

First Western Securities, Inc (CRD# 19537)
Hurst, TX

FullCircle Wealth LLC (CRD# 166695)
Dallas, TX

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

Investment Advisers Initially Making Notice Filing in January 2015

Gradient Securities, LLC (CRD# 127701)
Arden Hills, MN

Ropes Wealth Advisors (CRD# 168615)
Boston, MA

Secure Investment Management, LLC (CRD# 141195)
Tucson, AZ

TMFS Advisory Services, LLC (CRD# 151383)
Overland Park, KS

V Wealth Management, LLC (CRD# 153278)
Overland Park, KS

Verus Capital Partners, LLC (CRD# 151568)
Scottsdale, AZ

Warwick Investment Group, LLC (CRD# 173556)
Oklahoma City, OK