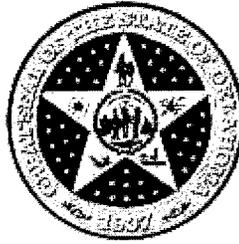


IRVING L. FAUGHT
ADMINISTRATOR



MARY FALLIN
GOVERNOR

STATE OF OKLAHOMA
DEPARTMENT OF SECURITIES

MEMORANDUM

To: Irving L. Faught, Administrator
From: Carol Gruis, Director of Examinations
Date: 5/1/2015
Re: FIRMS AND PROFESSIONALS REPORT

Attached is a report of the applications processed, as of April 30, 2015, for firms and professionals seeking to do business in Oklahoma.

Attachment

Oklahoma Department of Securities

Firms and Professionals Division

April 2015

As of
April 30, 2015

Broker-Dealers

FINRA Broker-Dealers Registered	1,487	
Non-FINRA Broker-Dealers Registered	1	
Broker-Dealers - Pending Applications	7	
Total Broker-Dealers		1,495

Investment Adviser Firms

Registered Investment Adviser Firms	163	
Registered Investment Adviser Firms - Pending Applications	8	
Total Registered and Pending IA Firms		171
Notice-Listed Investment Adviser Firms	1,057	
Notice-Listed Investment Adviser Firms - Pending Applications	1	
Total Notice-Listed IA Firms		1,058
Total Investment Adviser Firms		1,229

Investment Adviser Representatives

Registered Investment Adviser Reps.	4,721	
Registered Investment Adviser Reps.- Pending Applications	4	
Total Investment Adviser Reps.		4,725

For the Month of April 2015

Broker-Dealers initially Registered in April 2015	8
Investment Advisers initially Registered in April 2015	1
Investment Advisers initially Notice-Listed in April 2015	10
FINRA Broker-Dealer Agents Registered as of April 30, 2015	111,391
FINRA Broker-Dealer Agents Registered as of March 31, 2015	110,638
FINRA Broker-Dealer Agents Registered as of April 30, 2014	106,338
FINRA Broker-Dealer Agents accepted through the CRD in April 2015	2,189
Issuer Agents registered as of April 30, 2015	106

Broker-Dealers Initially Registered in April 2015

Arive Capital Markets (CRD# 8060)
St. Paul, MN

Eagle Ledge Capital, LLC (CRD# 150804)
Fresno, CA

Eight Pines Securities LLC (CRD# 153794)
New York, NY

Equilibrium Capital Services, LLC (CRD# 155530)
Portland, OR

Group Capital (CRD# 170506)
Scranton, PA

Kurt Salmon Capital Advisors, LLC (CRD# 43783)
Atlanta, GA

Monere Investments, Inc. (CRD# 105487)
Chicago, IL

North Inlet Advisors, LLC (CRD# 154297)
Charlotte, NC

Investment Advisers Initially Registered in April 2015

Vomund Investment Management, LLC (CRD# 108137)
Incline Village, NV

Investment Advisers Initially Making Notice Filing in April 2015

1st Consumer Advisory Group LLC (CRD# 169633)
Greenwood Village, CO

Bradley & Company, LLC (CRD# 144903)
San Francisco, CA

Cosner Financial Group, LLC (CRD# 147942)
Fort Collins, CO

Craft Wealth Management LLC (CRD# 170395)
Garden City, NY

GainPlan LLC (CRD# 174427)
BloomField Hills, MI

Interocean Capital, LLC (CRD# 136887)
Chicago, IL

Midwest Financial Group LLC (CRD# 175288)
Overland Park, KS

OnPointe Advisory and Financial Services, LLC (CRD# 162143)
Petaluma, CA

Shilanski & Associates, Inc. (CRD# 116431)
Anchorage, AK

Stewardship Advisory Group, LLC (CRD# 165710)
Ocoee, FL