

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: 9/1/2015
Re: FIRMS AND PROFESSIONALS REPORT

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

Attachment

Oklahoma Department of Securities
Firms and Professionals Division
August 2015

	As of August 31, 2015
Broker-Dealers	
FINRA Broker-Dealers Registered	1,504
Non-FINRA Broker-Dealers Registered	1
Broker-Dealers - Pending Applications	8
Total Broker-Dealers	1,513
Investment Adviser Firms	
Registered Investment Adviser Firms	169
Registered Investment Adviser Firms - Pending Applications	5
Total Registered and Pending IA Firms	174
Notice-Listed Investment Adviser Firms	1,056
Notice-Listed Investment Adviser Firms - Pending Applications	1
Total Notice-Listed IA Firms	1,057
Total Investment Adviser Firms	1,231
Investment Adviser Representatives	
Registered Investment Adviser Reps.	4,759
Registered Investment Adviser Reps.- Pending Applications	9
Total Investment Adviser Reps.	4,768
For the Month of August 2015	
Broker-Dealers initially Registered in August 2015	11
Investment Advisers initially Registered in August 2015	4
Investment Advisers initially Notice-Listed in August 2015	3
FINRA Broker-Dealer Agents Registered as of August 31, 2015	114,581
FINRA Broker-Dealer Agents Registered as of July 31, 2015	113,598
FINRA Broker-Dealer Agents Registered as of August 31, 2014	108,928
FINRA Broker-Dealer Agents accepted through the CRD in August 2015	2,428
Issuer Agents registered as of August 31, 2015	104

Broker-Dealers Initially Registered in August 2015

Accelerated Capital Group (CRD# 41270)
Irvine, CA

CG Capital Markets, LLC (CRD# 35513)
Boca Raton, FL

CV Brokerage, Inc. (CRD# 462)
West Conshohocken, PA

First Kentucky Securities Corporation (CRD# 7524)
Lexington, KY

Gold Coast Securities, Inc. (CRD# 110925)
Thousand Oaks, CA

Halifax America LLC (CRD# 172567)
Sherman Oaks, CA

Intrepid Partners, LLC (CRD# 198516)
New York, NY

SDDCO Brokerage Advisors LLC (CRD# 153563)
New York, NY

Selkirk Investments, Inc. (CRD# 13854)
Spokane, WA

SI Securities, LLC (CRD# 170937)
New York, NY

VisionQuest Securities, LLC (CRD# 102840)
Acworth, GA

Investment Advisers Initially Registered in August 2015

Paladini Financial Management, Inc. (CRD# 139884)
Arlington, TX

Palm Beach Capital Corporation (CRD# 109870)
Fort Smith, AR

Perissos Private Wealth Management (CRD# 217514)
Yukon, OK

St. Bernard Financial Services, Inc. (CRD# 36956)
Russellville, AR

Investment Advisers Initially Making Notice Filing in August 2015

Capital Investment Advisors, LLC (CRD# 158055)
Atlanta, GA

Citizens Securities, Inc. (CRD# 39550)
Dedham, MA

International Assets Investment Management, LLC (CRD# 144426)
Orlando, FL