

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: 10/1/2015
Re: FIRMS AND PROFESSIONALS REPORT

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

Attachment

Oklahoma Department of Securities
Firms and Professionals Division
September 2015

As of
September 30, 2015

Broker-Dealers

FINRA Broker-Dealers Registered	1,508	
Non-FINRA Broker-Dealers Registered	1	
Broker-Dealers - Pending Applications	6	
	Total Broker-Dealers	1,515

Investment Adviser Firms

Registered Investment Adviser Firms	168	
Registered Investment Adviser Firms - Pending Applications	5	
	Total Registered and Pending IA Firms	173
Notice-Listed Investment Adviser Firms	1,065	
Notice-Listed Investment Adviser Firms - Pending Applications	0	
	Total Notice-Listed IA Firms	1,065
	Total Investment Adviser Firms	1,238

Investment Adviser Representatives

Registered Investment Adviser Reps.	4,796	
Registered Investment Adviser Reps.- Pending Applications	4	
	Total Investment Adviser Reps.	4,800

For the Month of September 2015

Broker-Dealers initially Registered in September 2015		6
Investment Advisers initially Registered in September 2015		2
Investment Advisers initially Notice-Listed in September 2015		8
FINRA Broker-Dealer Agents Registered as of September 30, 2015		115,676
FINRA Broker-Dealer Agents Registered as of August 31, 2015		114,581
FINRA Broker-Dealer Agents Registered as of September 30, 2014		110,053
FINRA Broker-Dealer Agents accepted through the CRD in September 2015		2,404
Issuer Agents registered as of September 30, 2015		104

Broker-Dealers Initially Registered in September 2015

AssetPoint Financial, LLC (CRD# 168796)
Arlington, VA

Bankers Life Securities, Inc. (CRD# 173962)
Chicago, IL

Fallbrook Capital Securities Corp. (CRD# 101180)
Calabasas, CA

Loewen, OndaatJE, McCutcheon USA Limited (CRD# 35205)
Toronto, Ontario

Midlegate Securities Ltd. (CRD# 21544)
New York, NY

PJT Partners LP (CRD# 171058)
New York, NY

Investment Advisers Initially Registered in September 2015

Caption Management, LLC (CRD# 173841)
Oklahoma City, OK

Clinton Wealth Management LLC (CRD# 271041)
Norman, OK

Investment Advisers Initially Making Notice Filing in September 2015

Asset Allocation Strategies, LLC (CRD# 152339)
Farmington Hills, MI

Integrated Advisors Network LLC (CRD# 171991)
Palos Verdes Estates, CA

Jefferies Investment Advisers, LLC (CRD# 121767)
New York, NY

Royal Bank of Canada Investment Management (USA) Limited (CRD# 112284)
London, EC4R 3BF, United Kingdom,

Sagewood Asset Management LLC (CRD# 281548)
Chicago, IL

Sentinel Asset Management, Inc. (CRD# 109396)
Montpelier, VT

Summit Financial Wealth Advisors, LLC (CRD# 171278)
Lafayette, LA

TradeKing Advisors, Inc. (CRD# 170301)
Charlotte, NC