

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: 1/5/2016
Re: FIRMS AND PROFESSIONALS REPORT

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

Attachment

Oklahoma Department of Securities
 Firms and Professionals Division
 December 2015

As of
 December 31, 2015

Broker-Dealers	
FINRA Broker-Dealers Registered	1,481
Non-FINRA Broker-Dealers Registered	1
Broker-Dealers - Pending Applications	1
Total Broker-Dealers	1,483
Investment Adviser Firms	
Registered Investment Adviser Firms	167
Registered Investment Adviser Firms - Pending Applications	4
Total Registered and Pending IA Firms	171
Notice-Listed Investment Adviser Firms	1,070
Notice-Listed Investment Adviser Firms - Pending Applications	0
Total Notice-Listed IA Firms	1,070
Total Investment Adviser Firms	1,241
Investment Adviser Representatives	
Registered Investment Adviser Reps.	4,665
Registered Investment Adviser Reps.- Pending Applications	12
Total Investment Adviser Reps.	4,677

For the Month of December 2015

Broker-Dealers initially Registered in December 2015	1
Investment Advisers initially Registered in December 2015	1
Investment Advisers initially Notice-Listed in December 2015	4
FINRA Broker-Dealer Agents Registered as of December 31, 2015	111,817
FINRA Broker-Dealer Agents Registered as of November 30, 2015	117,000
FINRA Broker-Dealer Agents Registered as of December 31, 2014	105,484
FINRA Broker-Dealer Agents accepted through the CRD in December 2015	1,695
Issuer Agents registered as of December 31, 2015	104

Broker-Dealers Initially Registered in December 2015

Patrick Capital Markets, LLC (CRD# 16518)
St. Louis, MO

Investment Advisers Initially Registered in December 2015

Trac Advisor Group, Inc. (CRD# 281128)
Norman, OK

Investment Advisers Initially Making Notice Filing in December 2015

B.B. Graham & Company, Inc. (CRD# 41533)
Orange, CA

Hantz Financial Services, Inc. (CRD# 46047)
Southfield, MI

James Investment Research Inc. (CRD# 110433)
Xenia, OH

WWK Wealth Advisors (CRD# 146832)
Fort Worth, TX