

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: March 7, 2016  
Re: EXAMINATION REPORT

Attached hereto please find the report of the on-site examinations for the months ended January 31, 2016 and February 29, 2016.

**Examinations Division**  
**For The Period**  
**January 1, 2016 to February 29, 2016**

<b>On-Site Exams Started</b>	<b>BD</b>	<b>IA</b>	<b>Combined</b>
Total Exams Started	0	2	2

<b>On-Site Exams Completed</b>	<b>BD</b>	<b>IA</b>	<b>Combined</b>
Started and Completed During The Current Period	0	0	0
Started In A Prior Period and Completed During The Current Period	0	2	2
Referred to Enforcement Division	0	0	0
Total Exams Completed	<u>0</u>	<u>2</u>	<u>2</u>

<b>On-Site Exams Still Open</b>	<b>BD</b>	<b>IA</b>	<b>Combined</b>
Started During The Current Period	0	2	2
Started During A Prior Period	4	9	13
Total Still Open	<u>4</u>	<u>11</u>	<u>15</u>

	<b>BD</b>	<b>IA</b>	<b>Combined</b>
% of registrants examined during current period	0%	0%	0%
% of registrants against whom final action was taken during current period	0%	0.34%	0.34%
% of registrants examined against whom final action was taken during current period	0%	0%	0%

**NonBranch Sales Office Exam Questionnaires**

Total Reviewed      **0**

**On-Site Exam Aging**

<b>Days</b>	<b>Still Open</b>	<b>Completed</b>
0-30	1	0
31-60	1	0
61-90	1	0
Over 90	12	2
<b>Totals</b>	<b>15</b>	<b>2</b>

**Examinations Division**  
**For The Period**  
**January 1, 2016 to February 29, 2016**

**2 On-Site Exams Started but not Completed During Period**

IA/BD	Firm Name	Date Started
IA	F.I.G. FINANCIAL ADVISORY SERVICES, INC. 9211 LAKE HEFNER PARKWAY OKLAHOMA CITY,	1/19/2016
IA	ACORN ADVISORS, LLC 3614 E. 49TH ST. TULSA, OK	2/4/2016

**2 On-Site Exams Completed During Period**

IA/BD	Firm Name	Date Started	Date Completed
IA	MAIN STREET INVESTMENT MANAGEMENT 113 SOUTH BROADWAY EDMOND,	9/2/2015	2/22/2016
IA	SULLIVAN FINANCIAL STRATEGIES, LLC 29350 E. 19TH S. BROKEN ARROW,	6/15/2015	2/25/2016

\* Referred to Enforcement