

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:** 9/1/2016  
**Re:** FIRMS AND PROFESSIONALS REPORT

Attached is a report of the applications processed, as of August 31, 2016, for firms and professionals seeking to do business in Oklahoma.

Attachment

**Oklahoma Department of Securities**  
**Firms and Professionals Division**  
**August 2016**

	As of August 31, 2016
<b>Broker-Dealers</b>	
FINRA Broker-Dealers Registered	1,466
Non-FINRA Broker-Dealers Registered	1
Broker-Dealers - Pending Applications	4
<b>Total Broker-Dealers</b>	<b>1,471</b>
<b>Investment Adviser Firms</b>	
Registered Investment Adviser Firms	178
Registered Investment Adviser Firms - Pending Applications	3
<b>Total Registered and Pending IA Firms</b>	<b>181</b>
Notice-Listed Investment Adviser Firms	1,076
Notice-Listed Investment Adviser Firms - Pending Applications	1
<b>Total Notice-Listed IA Firms</b>	<b>1,077</b>
<b>Total Investment Adviser Firms</b>	<b>1,258</b>
<b>Investment Adviser Representatives</b>	
Registered Investment Adviser Reps.	4,824
Registered Investment Adviser Reps.- Pending Applications	5
<b>Total Investment Adviser Reps.</b>	<b>4,829</b>
<b>For the Month of August 2016</b>	
Broker-Dealers initially Registered in August 2016	4
Investment Advisers initially Registered in August 2016	2
Investment Advisers initially Notice-Listed in August 2016	3
FINRA Broker-Dealer Agents Registered as of August 31, 2016	118,413
FINRA Broker-Dealer Agents Registered as of July 31, 2016	117,468
FINRA Broker-Dealer Agents Registered as of August 31, 2015	114,581
FINRA Broker-Dealer Agents accepted through the CRD in August 2016	2,641
Issuer Agents registered as of August 31, 2016	96

## Broker-Dealers Initially Registered in August 2016

Bain Capital Distributors, LLC (CRD# 175456)  
Boston, MA

Coit Capital Securities LLC (CRD# 164959)  
San Francisco, CA

NVSTR Financial LLC (CRD# 269966)  
New York, NY

Redwine & Company, Inc. (CRD# 39616)  
Austin, TX

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## Investment Advisers Initially Registered in August 2016

BTI Sports Advisors, LLC (CRD# 284302)  
Oak Park, IL

Cartographer (CRD# 118321)  
Oklahoma City, OK

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## Investment Advisers Initially Making Notice Filing in August 2016

Simmons First Investment Group, Inc. (CRD# 47439)  
Little Rock, AR

Trunorth Wealth Partners, LLC (CRD# 284807)  
St. Paul, MN

Wasmer Schroeder & Co. Inc. (CRD# 105323)  
Naples, FL