

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: July 13, 2016

Re: EXAMINATION REPORT

Attached hereto please find the report of the on-site examinations for the months ended May 31, 2016 and June 30, 2016.

Examinations Division
For The Period
May 1, 2016 to June 30, 2016

On-Site Exams Started	BD	IA	Combined
Total Exams Started	0	3	3
On-Site Exams Completed	BD	IA	Combined
Started and Completed During The Current Period	0	0	0
Started In A Prior Period and Completed During The Current Period	1	2	3
Referred to Enforcement Division	0	0	0
Total Exams Completed	<u>1</u>	<u>2</u>	<u>3</u>
On-Site Exams Still Open	BD	IA	Combined
Started During The Current Period	0	3	3
Started During A Prior Period	3	10	13
Total Still Open	<u>3</u>	<u>13</u>	<u>16</u>
	BD	IA	Combined
% of registrants examined during current period	0%	0%	0%
% of registrants against whom final action was taken during current period	0%	0.68%	0.68%
% of registrants examined against whom final action was taken during current period	0%	0%	0%

NonBranch Sales Office Exam Questionnaires

Total Reviewed 2

On-Site Exam Aging

Days	Still Open	Completed
0-30	0	0
31-60	3	0
61-90	2	0
Over 90	11	3
Totals	16	3

Examinations Division
For The Period
May 1, 2016 to June 30, 2016

3 On-Site Exams Started but not Completed During Period

IA/BD	Firm Name	Date Started
IA	WINGATE CAPITAL ADVISORS LLC 8143 E. 11TH STREET TULSA, OK	5/17/2016
IA	WEALTH MANAGEMENT ADVISORS, LLC 4200 EAST SKELLY DRIVE, SUITE 350 TULSA, OK	5/17/2016
IA	D.M. WEALTH MANAGEMENT, INC. 3750 WEST MAIN STREET, SUITE AA NORMAN, OK	5/25/2016

3 On-Site Exams Completed During Period

IA/BD	Firm Name	Date Started	Date Completed
BD	MORGAN STANLEY 2828 W. UNIVERSITY BLVD. SUITE 118 DURANT, OK	9/30/2014	5/23/2016
IA	WEALTH ADVISORS OF OKLAHOMA, L.L.C. 2424 E. 21ST STREET, SUITE 200 TULSA, OK	10/12/2015	6/22/2016
IA	SERVO PORTFOLIO MANAGEMENT LLC 2424 E. 21ST STREET, SUITE 200 TULSA, OK	11/16/2015	6/29/2016

* Referred to Enforcement