

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:** 7/1/2016  
**Re:** FIRMS AND PROFESSIONALS REPORT

Attached is a report of the applications processed, as of June 30, 2016, for firms and professionals seeking to do business in Oklahoma.

Attachment

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

	As of June 30, 2016
<b>Broker-Dealers</b>	
FINRA Broker-Dealers Registered	1,473
Non-FINRA Broker-Dealers Registered	1
Broker-Dealers - Pending Applications	8
<b>Total Broker-Dealers</b>	<b>1,482</b>
<b>Investment Adviser Firms</b>	
Registered Investment Adviser Firms	172
Registered Investment Adviser Firms - Pending Applications	6
<b>Total Registered and Pending IA Firms</b>	<b>178</b>
Notice-Listed Investment Adviser Firms	1,080
Notice-Listed Investment Adviser Firms - Pending Applications	2
<b>Total Notice-Listed IA Firms</b>	<b>1,082</b>
<b>Total Investment Adviser Firms</b>	<b>1,260</b>
<b>Investment Adviser Representatives</b>	
Registered Investment Adviser Reps.	4,804
Registered Investment Adviser Reps.- Pending Applications	10
<b>Total Investment Adviser Reps.</b>	<b>4,814</b>
<b>For the Month of June 2016</b>	
Broker-Dealers initially Registered in June 2016	5
Investment Advisers initially Registered in June 2016	0
Investment Advisers initially Notice-Listed in June 2016	6
FINRA Broker-Dealer Agents Registered as of June 30, 2016	117,391
FINRA Broker-Dealer Agents Registered as of May 31, 2016	116,888
FINRA Broker-Dealer Agents Registered as of June 30, 2015	112,754
FINRA Broker-Dealer Agents accepted through the CRD in June 2016	2,227
Issuer Agents registered as of June 30, 2016	96

### **Broker-Dealers Initially Registered in June 2016**

Five 9 Securities, LLC (CRD# 114853)  
New York, NY

Impactus Marketplace LLC (CRD# 282651)  
Washington, DC

New Albion Partners LLC (CRD# 119518)  
New York, NY

Precision Securities, LLC (CRD# 103976)  
San Diego, CA

Roseview Securities, LLC (CRD# 133789)  
Boston, MA

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### **Investment Advisers Initially Registered in June 2016**

No new Registered IA's for this period

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### **Investment Advisers Initially Making Notice Filing in June 2016**

Avellino Financial Advisors, Inc. (CRD# 164805)  
Chicago, IL

First Southwest Asset Management, LLC (CRD# 110760)  
Dallas, TX

HYA Advisors, Inc. (CRD# 106691)  
Springfield, MO

Innovation Partners LLC (CRD# 146344)  
Charlotte, NC

Pax Financial Group (CRD# 284164)  
San Antonio, TX

Strategic Wealth Advisors Group (CRD# 283824)  
San Mateo, CA