

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: 6/1/2016
Re: FIRMS AND PROFESSIONALS REPORT

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

Attachment

Oklahoma Department of Securities
Firms and Professionals Division
May 2016

| | As of May 31, 2016 |
|---|-----------------------|
| Broker-Dealers | |
| FINRA Broker-Dealers Registered | 1,473 |
| Non-FINRA Broker-Dealers Registered | 1 |
| Broker-Dealers - Pending Applications | 7 |
| Total Broker-Dealers | 1,481 |
| Investment Adviser Firms | |
| Registered Investment Adviser Firms | 172 |
| Registered Investment Adviser Firms - Pending Applications | 3 |
| Total Registered and Pending IA Firms | 175 |
| Notice-Listed Investment Adviser Firms | 1,075 |
| Notice-Listed Investment Adviser Firms - Pending Applications | 3 |
| Total Notice-Listed IA Firms | 1,078 |
| Total Investment Adviser Firms | 1,253 |
| Investment Adviser Representatives | |
| Registered Investment Adviser Reps. | 4,777 |
| Registered Investment Adviser Reps.- Pending Applications | 2 |
| Total Investment Adviser Reps. | 4,779 |
| For the Month of May 2016 | |
| Broker-Dealers initially Registered in May 2016 | 8 |
| Investment Advisers initially Registered in May 2016 | 4 |
| Investment Advisers initially Notice-Listed in May 2016 | 4 |
| FINRA Broker-Dealer Agents Registered as of May 31, 2016 | 116,888 |
| FINRA Broker-Dealer Agents Registered as of April 30, 2016 | 116,612 |
| FINRA Broker-Dealer Agents Registered as of May 31, 2015 | 111,985 |
| FINRA Broker-Dealer Agents accepted through the CRD in May 2016 | 2,156 |
| Issuer Agents registered as of May 31, 2016 | 96 |

Broker-Dealers Initially Registered in May 2016

Brown Brothers Harriman Investments, LLC (CRD# 282732)
New York, NY

Equityzen Securities LLC (CRD# 281820)
New York, NY

Exane, Inc. (CRD# 41784)
New York, NY

Hedgemark Securities LLC (CRD# 164503)
New York, NY

Opus Financial Partners, LLC (CRD# 172146)
Irvine, CA

Quint Capital Corporation (CRD# 26586)
New York, NY

Venture.Co (CRD# 173924)
Burlington, VT

Wood (Arthur W.) Company, Inc. (CRD# 3798)
Boston, MA

Investment Advisers Initially Registered in May 2016

Coronado Investment Advisors, LLC (CRD# 283420)
Las Cruces, NM

Jarrod Adams Investing, LLC (CRD# 164119)
Charlotte, NC

Sphere, LLC (CRD# 174488)
Fayetteville, AR

Vikasa Management LLC (CRD# 168585)
Oklahoma City, OK

Investment Advisers Initially Making Notice Filing in May 2016

Argonaut Private Capital, LP (CRD# 283878)
Tulsa, OK

Bankers Life Advisory Services, Inc. (CRD# 281285)
Chicago, IL

Scharf Investments, LLC (CRD# 105508)
Scotts Valley, CA

USA Financial Exchange Corporation (CRD# 283466)
Ada, MI