

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: November 17, 2016

Re: EXAMINATION REPORT

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

**Examinations Division**  
**For The Period**  
**September 1, 2016 to October 31, 2016**

<b>On-Site Exams Started</b>	<b>BD</b>	<b>IA</b>	<b>Combined</b>
Total Exams Started	0	7	7

<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	6	6
Referred to Enforcement Division	0	0	0
Total Exams Completed	<u>0</u>	<u>6</u>	<u>6</u>

<b>On-Site Exams Still Open</b>	<b>BD</b>	<b>IA</b>	<b>Combined</b>
Started During The Current Period	0	7	7
Started During A Prior Period	3	15	18
Total Still Open	<u>3</u>	<u>22</u>	<u>25</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%	0.98%	0.98%
% of registrants examined against whom final action was taken during current period	0%	0%	0%

**NonBranch Sales Office Exam Questionnaires**

Total Reviewed      1

**On-Site Exam Aging**

<b>Days</b>	<b>Still Open</b>	<b>Completed</b>
0-30	6	0
31-60	1	1
61-90	3	1
Over 90	15	4
<b>Totals</b>	<b>25</b>	<b>6</b>

**Examinations Division**  
**For The Period**  
**September 1, 2016 to October 31, 2016**

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

IA/BD	Firm Name	Date Started
IA	SCOTTS BAY INVESTMENT ADVISORS 4101 N. LIONS PLACW BROKEN ARROW, OK	9/27/2016
IA	MELIA WEALTH ADVISORY GROUP LLC 5424 S. MEMORIAL DRIVE, BLDG. E TULSA, OK	10/4/2016
IA	CARTOGRAPHER 210 PARK AVE, SUITE 3000 OKC, OK	10/13/2016
IA	TRILOGY FINANCIAL SOLUTIONS 1900 NE 7TH CIRCLE MOORE, OK	10/13/2016
IA	CORE WEALTH MANAGEMENT 8901 COMMERCE DRIVE OKLAHOMA CITY, OK	10/18/2016
IA	COWAN FINANCIAL SERVICES, LLC 4124 BENTBROOK PLACE NORMAN, OK	10/24/2016
IA	SIGNAL RESEARCH GROUP LLC 6200 LANSBROOK LANE OKLAHOMA CITY, OK	10/31/2016

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

IA/BD	Firm Name	Date Started	Date Completed
IA	STRONGHOLD WEALTH MANAGEMENT L.L.C. 7633 E. 63RD PLACE TULSA, OK	7/27/2016	9/12/2016
IA	WEALTH MANAGEMENT ADVISORS, LLC 4200 EAST SKELLY DRIVE, SUITE 350 TULSA, OK	5/17/2016	9/27/2016
IA	ACORN ADVISORS, LLC 3614 E. 49TH ST. TULSA, OK	2/4/2016	9/27/2016
IA	D.M. WEALTH MANAGEMENT, INC. 3750 WEST MAIN STREET, SUITE AA NORMAN, OK	5/25/2016	10/11/2016
IA	BERTRAND WEALTH STRATEGIES, L.L.C. 9909 S. PENNSYLVANIA OKLAHOMA CITY, OK	4/29/2016	10/11/2016
IA	FINANCIAL DESTINY LLC 5127 E. 102ND PL. S TULSA, OK	8/2/2016	10/26/2016

\* Referred to Enforcement