

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: 11/2/2016
Re: FIRMS AND PROFESSIONALS REPORT

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

Attachment

Oklahoma Department of Securities
Firms and Professionals Division
October 2016

	As of October 31, 2016
Broker-Dealers	
FINRA Broker-Dealers Registered	1,462
Non-FINRA Broker-Dealers Registered	1
Broker-Dealers - Pending Applications	3
Total Broker-Dealers	1,466
Investment Adviser Firms	
Registered Investment Adviser Firms	179
Registered Investment Adviser Firms - Pending Applications	3
Total Registered and Pending IA Firms	182
Notice-Listed Investment Adviser Firms	1,085
Notice-Listed Investment Adviser Firms - Pending Applications	2
Total Notice-Listed IA Firms	1,087
Total Investment Adviser Firms	1,269
Investment Adviser Representatives	
Registered Investment Adviser Reps.	4,802
Registered Investment Adviser Reps.- Pending Applications	5
Total Investment Adviser Reps.	4,807
For the Month of October 2016	
Broker-Dealers initially Registered in October 2016	4
Investment Advisers initially Registered in October 2016	0
Investment Advisers initially Notice-Listed in October 2016	9
FINRA Broker-Dealer Agents Registered as of October 31, 2016	119,535
FINRA Broker-Dealer Agents Registered as of September 30, 2016	119,124
FINRA Broker-Dealer Agents Registered as of October 31, 2015	116,476
FINRA Broker-Dealer Agents accepted through the CRD in October 2016	1,947
Issuer Agents registered as of October 31, 2016	98

Broker-Dealers Initially Registered in October 2016

Abel/Noser, L.L.C. (CRD# 284714)
New York, NY

Guggenheim Liquid Markets, LLC (CRD# 283873)
New York, NY

Morgan Creek Capital Distributors, LLC (CRD# 154377)
New York, NY

Smith Whiley Securities LLC (CRD# 38008)
New York, NY

Investment Advisers Initially Registered in October 2016

No new Registered IA's for this period

Investment Advisers Initially Making Notice Filing in October 2016

Capitol Securities Management, Inc. (CRD# 14169)
Glen Allen, VA

DFPG Investments, Inc. (CRD# 155576)
South Jordan, UT

Equity Investment Corp. (CRD# 283930)
Atlanta, GA

Financial Guard, LLC (CRD# 156059)
Sandy, UT

Honkamp Krueger Financial Services Inc. (CRD# 106237)
Dubuque, IA

M.C. Byrd Wealth Management, LLC (CRD# 151070)
Bellville, TX

Sloan Investment Management, L.L.C. (CRD# 142276)
Dallas, TX

Smart Money Group, LLC (CRD# 284187)
Eastland, TX

Wildermuth Asset Management, LLC (CRD# 285106)
Alpharetta, GA