

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:** 10/4/2016  
**Re:** FIRMS AND PROFESSIONALS REPORT

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

Attachment

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

As of  
September 30, 2016

<b>Broker-Dealers</b>	
FINRA Broker-Dealers Registered	1,470
Non-FINRA Broker-Dealers Registered	1
Broker-Dealers - Pending Applications	5
<b>Total Broker-Dealers</b>	<b>1,476</b>

<b>Investment Adviser Firms</b>	
Registered Investment Adviser Firms	179
Registered Investment Adviser Firms - Pending Applications	1
<b>Total Registered and Pending IA Firms</b>	<b>180</b>
Notice-Listed Investment Adviser Firms	1,081
Notice-Listed Investment Adviser Firms - Pending Applications	1
<b>Total Notice-Listed IA Firms</b>	<b>1,082</b>
<b>Total Investment Adviser Firms</b>	<b>1,262</b>

<b>Investment Adviser Representatives</b>	
Registered Investment Adviser Reps.	4,802
Registered Investment Adviser Reps.- Pending Applications	4
<b>Total Investment Adviser Reps.</b>	<b>4,806</b>

**For the Month of September 2016**

Broker-Dealers initially Registered in September 2016	6
Investment Advisers initially Registered in September 2016	2
Investment Advisers initially Notice-Listed in September 2016	7
FINRA Broker-Dealer Agents Registered as of September 30, 2016	119,124
FINRA Broker-Dealer Agents Registered as of August 31, 2016	118,413
FINRA Broker-Dealer Agents Registered as of September 30, 2015	115,676
FINRA Broker-Dealer Agents accepted through the CRD in September 2016	2,427
Issuer Agents registered as of September 30, 2016	98

## Broker-Dealers Initially Registered in September 2016

Asante Capital Group Advisors LLC (CRD# 155178)  
London, England

Brooklands Capital Strategies BD, LP (CRD# 281951)  
Fort Worth, TX

Cavanal Hill Distributors, Inc. (CRD# 175445)  
Tulsa, OK

Divy Equities, Inc. (CRD# 282940)  
Los Angeles, CA

Lightpath Capital, Inc. (CRD# 34617)  
Los Angeles, CA

Rodman & Renshaw, LLC (CRD# 281264)  
New York, NY

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## Investment Advisers Initially Registered in September 2016

Legacy Advance Solutions LLC (CRD# 284835)  
Edmond, OK

R-Squared Investment Management LLC (CRD# 284208)  
Tulsa, OK

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## Investment Advisers Initially Making Notice Filing in September 2016

6 Meridian LLC (CRD# 283845)  
Wichita, KS

Duff & Phelps Investment Management Co. (CRD# 107296)  
Chicago, IL

Envision Capital Management Inc. (CRD# 107150)  
El Segundo, CA

Financial Advocates Investment Management (CRD# 151298)  
Olympia, WA

Karpus Management Inc. (CRD# 110575)  
Pittsford, NY

Kissinger Financial Services, LLC (CRD# 284871)  
Hunt Valley, MD

Plexus Financial Services, LLC (CRD# 153132)  
Deer Park, IL