



STATE OF OKLAHOMA  
DEPARTMENT OF SECURITIES

**REGULARLY SCHEDULED MEETING AGENDA**  
**Oklahoma Securities Commission**  
**204 North Robinson, Suite 400 Conference Room**  
**Oklahoma City, Oklahoma**

**November 15, 2018**

10:00 a.m.

- I. Call to Order
- II. Acceptance of Minutes for the September 20, 2018 regularly scheduled meeting
- III. Old Business
- IV. Administrator's Report
  - A. Presentation and discussion of the financial report through October 31, 2018
  - B. Presentation and discussion of the reports on the enforcement activities of the Department during the months of September and October 2018
  - C. Presentation and discussion of the reports on the securities registration and exemption activities of the Department as of October 31, 2018
  - D. Presentation and discussion of the reports on the firms and professionals registration activities of the Department during the months of September and October 2018
  - E. Presentation and discussion of the reports on the on-site examinations for the months of September and October 2018
  - F. Presentation and discussion of investor education activities
  - G. Presentation and discussion of proposed, pending or final state and/or federal legislation or policies affecting operations of the Department of Securities
- V. New Business
- VI. Adjournment