

IRVING L. FAUGHT
ADMINISTRATOR



MARY FALLIN
GOVERNOR

STATE OF OKLAHOMA
DEPARTMENT OF SECURITIES

MEMORANDUM

To: *Irving L. Faught, Administrator*

From: *Ken Maillard, Director of Registrations*

Date: *September 24, 2013*

Re: **REGISTRATIONS & EXEMPTIONS REPORT**

Attached hereto please find the report of the activities of the registration and exemption section as of June 30, 2013.

Attachment

Oklahoma Department of Securities Corporate Finance Division Summary of Applications Processed

For the period 7/1/2013 to 8/31/2013

Application Type	Total Processed	Total with Deficiencies /Comments	% of Total Processed to Total with Deficiencies	Total Granted/ Registered	Total Granted/ Registered After Correcting Deficiency	% of Total Granted/ Registered After Correcting Deficiency to Total with Deficiencies	Withdrawn Because of Deficiency	Denied Because of Deficiency
Business Opportunity Reg., Initial	2	1	50%	0	0	0%	0	0
Coordination, Initial	8	6	75%	0	0	0%	0	0
No Action/Interpretive Opinion	0	0	0%	0	0	0%	0	0
Qualification, Initial	0	0	0%	0	0	0%	0	0
Registered Oklahoma Issuers	0	0	0%	0	0	0%	0	0
Exemptions	16	6	38%	6	1	17%	0	0
- Oklahoma Issuers	1	0	0%	1	0	0%	0	0
Reg. D Filings (506 only)	121	0	0%	12	0	0%	0	0
- Oklahoma Issuers	9	0	0%	1	0	0%	0	0
Subdivided Land Sales	1	0	0%	0	0	0%	0	0
Public Trust Filings	36	0	0%	0	0	0%	0	0
Totals:	194	13	7%	20	1	8%	0	0