



STATE OF OKLAHOMA
DEPARTMENT OF SECURITIES

SPECIAL MEETING AGENDA
Oklahoma Securities Commission
The First National Center
120 North Robinson, Eighth Floor Conference Room
Oklahoma City, Oklahoma

November 19, 2013

10:00 a.m.

- I. Call to order
- II. Acceptance of minutes for the September 24, 2013 meeting
- III. Old Business
- IV. Presentation and discussion of Fiscal Year 2013 audited financial statements and audit report
- V. Administrator's Report
 - A. Presentation and discussion of the financial report through October 31, 2013
 - B. Presentation and discussion of the reports on the enforcement activities of the Department during the months of September and October 2013
 - C. Presentation and discussion of the report on the securities registration and exemption activities of the Department as of October 31, 2013
 - D. Presentation and discussion of the report on the firms and professionals registration activities of the Department during the months of September and October 2013
 - E. Presentation and discussion of the reports on the on-site examinations for the months of September and October 2013
 - F. Presentation and discussion of investor education activities
 - G. Presentation and discussion of state and/or federal legislation or policies affecting operations of the Department of Securities
- VI. Presentation, discussion and vote regarding performance-based adjustments for the Administrator and Deputy Administrator
- VII. New Business
- VIII. Adjournment