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 12, 2014***

Re: ***REGISTRATIONS & EXEMPTIONS REPORT***

Attached hereto please find the reports of the activities of the registration and exemption section as of June 30, 2014, and August 31, 2014

Attachment

FIRST NATIONAL CENTER, SUITE 860 • 120 NORTH ROBINSON • OKLAHOMA CITY, OK 73102 • (405) 280-7700 • FAX (405) 280-7742
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recycled paper

Oklahoma Department of Securities

Corporate Finance Division Summary of Applications Processed

For the period 7/1/2013 to 6/30/2014

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After Correcting Deficiency	% of Total Granted/ Registered After Correcting Deficiency to Total with Deficiencies	Withdrawn Because of Deficiency	Denied Because of Deficiency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	2	100%	0	0	0%	1	0
Coordination, Initial	42	24	57%	12	12	50%	1	0
No Action/Interpretive Opinion	2	0	0%	1	0	0%	0	0
Qualification, Initial	1	1	100%	0	0	0%	0	0
Registered Oklahoma Issuers	0	0	0%	0	0	0%	0	0
Exemptions	71	15	21%	58	9	60%	0	0
- Oklahoma Issuers	5	0	0%	5	0	0%	0	0
Reg. D Filings (506 only)	762	22	3%	685	15	68%	0	0
- Oklahoma Issuers	64	0	0%	61	0	0%	0	0
Subdivided Land Sales	2	0	0%	0	0	0%	0	0
Public Trust Filings	129	0	0%	36	0	0%	0	0
Totals:	**1080**	**64**	**6%**	**858**	**36**	**56%**	**2**	**0**

Oklahoma Department of Securities

Corporate Finance Division Summary of Applications Processed

For the period 7/1/2014 to 8/31/2014

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After Correcting Deficiency	% of Total Granted/ Registered After Correcting Deficiency to Total with Deficiencies	Withdrawn Because of Deficiency	Denied Because of Deficiency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	0	0	0%	0	0	0%	0	0
Coordination, Initial	4	1	25%	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	17	1	6%	1	0	0%	0	0
- Oklahoma Issuers	2	0	0%	0	0	0%	0	0
Reg. D Filings (506 only)	121	0	0%	0	0	0%	0	0
- Oklahoma Issuers	17	0	0%	0	0	0%	0	0
Subdivided Land Sales	0	0	0%	0	0	0%	0	0
Public Trust Filings	26	0	0%	0	0	0%	0	0
Totals:	**187**	**2**	**1%**	**1**	**0**	**0%**	**0**	**0**