



STATE OF OKLAHOMA  
DEPARTMENT OF SECURITIES

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

**November 20, 2014**

10:00 a.m.

- I. Call to order
- II. Acceptance of minutes for the September 18, 2014 meeting
- III. Old Business
- IV. Presentation, discussion and vote to accept Fiscal Year 2014 Financial Statements and Independent Auditor's Report
- V. Administrator's Report
  - A. Presentation and discussion of the financial report through October 31, 2014
  - B. Presentation and discussion of the reports on the enforcement activities of the Department during the months of September and October 2014
  - C. Presentation and discussion of the report on the securities registration and exemption activities of the Department as of October 31, 2014
  - D. Presentation and discussion of the reports on the firms and professionals registration activities of the Department during the months of September and October 2014
  - E. Presentation and discussion of the reports on the on-site examinations for the months of September and October 2014
  - 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. Southeast Investments, N.C. Inc. and Frank H. Black Appeal
  - A. Determination of date for oral argument, if requested
  - B. Determination of date for deliberation by Commission
  - C. Vote to stay the Administrator's order pending appeal
- VII. New Business
- VIII. Adjournment