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: ***November 16, 2015***

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

Attached hereto please find the report of the activities of the registration and exemption section as of October 31, 2015

Attachment

204 NORTH ROBINSON, SUITE 400 • OKLAHOMA CITY, OK 73102 • (405) 280-7700 • FAX (405) 280-7742
http://www.securities.ok.gov

recycled paper

Oklahoma Department of Securities

Corporate Finance Division Summary of Applications Processed

For the period 7/1/2015 to 10/31/2015

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After Correcting Deficiency	% of Total Granted/ Registered After Correcting Deficiency to Total with Deficiencies	Withdrawn Because of Deficiency	Denied Because of Deficiency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	9	2	22%	0	0	0%	0	0
No Action/Interpretive Opinion	0	0	0%	0	0	0%	0	0
Qualification, Initial	2	1	50%	1	1	100%	0	0
Registered Oklahoma Issuers	0	0	0%	0	0	0%	0	0
Exemptions	28	2	7%	16	2	100%	0	0
- Oklahoma Issuers	2	0	0%	1	0	0%	0	0
Reg. D Filings (506 only)	256	0	0%	216	0	0%	0	0
- Oklahoma Issuers	15	0	0%	15	0	0%	0	0
Subdivided Land Sales	0	0	0%	0	0	0%	0	0
Public Trust Filings	43	0	0%	5	0	0%	0	0
Totals:	**355**	**5**	**1%**	**254**	**3**	**60%**	**0**	**0**