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: ***May 17, 2016***

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

Attached hereto please find the report of the activities of the registration and exemption section as of April 30, 2016.

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 4/30/2016

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After Correcting Deficiency	% of Total Granted/ Registered After Correcting Deficiency to Total with Deficiencies	Withdrawn Because of Deficiency	Denied Because of Deficiency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	1	0	0%	0	0	0%	0	0
Coordination, Initial	22	18	82%	5	5	28%	1	0
No Action/Interpretive Opinion	0	0	0%	0	0	0%	0	0
Qualification, Initial	6	3	50%	4	2	67%	1	0
Registered Oklahoma Issuers	0	0	0%	0	0	0%	0	0
Exemptions	78	6	8%	64	6	100%	0	0
- Oklahoma Issuers	5	0	0%	5	0	0%	0	0
Reg. D Filings (506 only)	628	0	0%	568	0	0%	0	0
- Oklahoma Issuers	46	0	0%	46	0	0%	0	0
Subdivided Land Sales	0	0	0%	0	0	0%	0	0
Public Trust Filings	93	0	0%	90	0	0%	0	0
Totals:	**879**	**27**	**3%**	**782**	**13**	**48%**	**2**	**0**