



STATE OF OKLAHOMA  
DEPARTMENT OF SECURITIES

**REGULARLY SCHEDULED MEETING AGENDA**  
**Oklahoma Securities Commission**  
**204 North Robinson, Suite 400 Conference Room**  
**Oklahoma City, Oklahoma**

**January 21, 2025**

**10:00 a.m.**

- I. Call to order
- II. Acknowledgment of quorum and compliance with the requirements of the Open Meeting Act
- III. Roll call vote to accept the Minutes for the July 21, 2025, regularly scheduled meeting
- IV. Roll call vote to accept the Minutes for the October 9, 2024, special meeting
- V. Old Business
- VI. Presentation and discussion of the Annual Financial Statements and Independent Auditor's Reports as of and for the Fiscal Year Ended June 20, 2024, and June 30, 2023
- VII. Presentation and discussion of staff reports
  - A. Presentation and discussion of report of Director of Operations (Phillip Carey)
  - B. Presentation and discussion of the financial report as of December 31, 2024 (Laura Swingle)
  - C. Presentation and discussion of the report on the enforcement activities of the Department during the months of July through December 2024 (Amanda Cornmesser)
  - D. Presentation and discussion of the report on the securities registration and exemption activities of the Department as of December 31, 2024 (David Lawson)

- E. Presentation and discussion of the reports for the months of July through December 2024 on the registration activities of the Department relating to firms and professionals (Carol Gruis)
  - F. Presentation and discussion of the report on examinations for the months of July through December 2024 (Carol Gruis)
  - G. Presentation and discussion of proposed, pending or final state and/or federal legislation, rules, or policies affecting operations of the Department of Securities (Gerri Kavanaugh)
- VIII. Roll call vote to accept staff reports
- IX. Selection of members of the Commission's Audit and Personnel Committee and vote to approve such selections
- X. New Business
- XI. Adjournment