

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:** *January 17, 2013*

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

Attached hereto please find the report of the activities of the registration and exemption section as of December 31, 2012.

Attachment

**Oklahoma Department of Securities**  
**Registrations Division Summary of Applications Processed**  
 Between 7/1/2012 and 12/31/2012

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After Correcting Deficiency	% of Total Granted/ Registered After Correcting Deficiency to Total with Deficiencies	Withdrawn Because of Deficiency	Denied Because of Deficiency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	15	10	67%	0	0	0%	0	0
No Action/Interpretive Opinion	1	0	0%	0	0	0%	0	0
Qualification, Initial	0	0	0%	0	0	0%	0	0
Exemptions	55	8	15%	20	3	38%	2	0
Reg. D Filings (506 only)	290	14	5%	285	10	71%	0	0
Subdivided Land Sales	0	0	0%	0	0	0%	0	0
Public Trust Filings	82	0	0%	29	0	0%	0	0
<b>Totals:</b>	<b>444</b>	<b>32</b>	<b>7%</b>	<b>334</b>	<b>13</b>	<b>41%</b>	<b>2</b>	<b>0</b>