

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 13, 2013*

Re: *REGISTRATIONS & EXEMPTIONS REPORT*

Attached hereto please find the report of the activities of the registration and exemption section as of April 30, 2013.

Attachment

Oklahoma Department of Securities
Registrations Division Summary of Applications Processed
 Between 7/1/2012 and 4/30/2013

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After Correcting Deficiency	% of Total Granted/Registered After Correcting Deficiency to Total with Deficiencies	Withdrawn Because of Deficiency	Denied Because of Deficiency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	23	15	65%	5	4	27%	0	0
No Action/Interpretive Opinion	1	0	0%	0	0	0%	0	0
Qualification, Initial	1	0	0%	0	0	0%	0	0
Exemptions	143	10	7%	38	4	40%	2	0
Reg. D Filings (506 only)	484	22	5%	478	17	77%	0	0
Subdivided Land Sales	0	0	0%	0	0	0%	0	0
Public Trust Filings	124	0	0%	56	0	0%	0	0
Totals:	777	47	6%	577	25	53%	2	0