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 14, 2014***

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

Attached hereto please find the report of the activities of the registration and exemption section as of October 31, 2014

Attachment

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recycled paper

Oklahoma Department of Securities

Corporate Finance Division Summary of Applications Processed

For the period 7/1/2014 to 10/31/2014

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After Correcting Deficiency	% of Total Granted/ Registered After Correcting Deficiency to Total with Deficiencies	Withdrawn Because of Deficiency	Denied Because of Deficiency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	13	5	38%	0	0	0%	0	0
No Action/Interpretive Opinion	0	0	0%	0	0	0%	0	0
Qualification, Initial	0	0	0%	0	0	0%	0	0
Registered Oklahoma Issuers	0	0	0%	0	0	0%	0	0
Exemptions	30	5	17%	11	1	20%	0	0
- Oklahoma Issuers	3	1	33%	0	0	0%	0	0
Reg. D Filings (506 only)	269	0	0%	4	0	0%	0	0
- Oklahoma Issuers	27	0	0%	0	0	0%	0	0
Subdivided Land Sales	0	0	0%	0	0	0%	0	0
Public Trust Filings	46	0	0%	16	0	0%	0	0
Totals:	**388**	**11**	**3%**	**31**	**1**	**9%**	**0**	**0**