

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: *March 11, 2015*

Re: **REGISTRATIONS & EXEMPTIONS REPORT**

Attached hereto please find the report of the activities of the registration and exemption section as of February 28, 2015

Attachment

Oklahoma Department of Securities

Corporate Finance Division Summary of Applications Processed

For the period 7/1/2014 to 2/28/2015

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After Correcting Deficiency	% of Total Granted/Registered After Correcting Deficiency to Total with Deficiencies	Withdrawn Because of Deficiency	Denied Because of Deficiency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	20	10	50%	4	3	30%	0	0
No Action/Interpretive Opinion	0	0	0%	0	0	0%	0	0
Qualification, Initial	1	1	100%	0	0	0%	0	0
Registered Oklahoma Issuers	0	0	0%	0	0	0%	0	0
Exemptions	42	7	17%	32	5	71%	0	0
- Oklahoma Issuers	4	1	25%	2	1	100%	0	0
Reg. D Filings (506 only)	522	13	2%	357	3	23%	0	0
- Oklahoma Issuers	51	0	0%	35	0	0%	0	0
Subdivided Land Sales	0	0	0%	0	0	0%	0	0
Public Trust Filings	78	0	0%	20	0	0%	0	0
Totals:	718	32	4%	450	12	38%	0	0