

IRVING L. FAUGHT
ADMINISTRATOR



MARY FALLIN
GOVERNOR

STATE OF OKLAHOMA
DEPARTMENT OF SECURITIES

MEMORANDUM

To: Irving L. Faught, Administrator
From: Carol Gruis, Director of Examinations
Date: July 2, 2015
Re: EXAMINATION REPORT

Attached hereto please find the report of the on-site examinations for the months ended May 31, 2015 and June 30, 2015.

Examinations Division
For The Period
May 1, 2015 to June 30, 2015

On-Site Exams Started	BD	IA	Combined
Total Exams Started	0	2	2
On-Site Exams Completed	BD	IA	Combined
Started and Completed During The Current Period	0	0	0
Started In A Prior Period and Completed During The Current Period	0	1	1
Referred to Enforcement Division	0	0	0
Total Exams Completed	<u>0</u>	<u>1</u>	<u>1</u>
On-Site Exams Still Open	BD	IA	Combined
Started During The Current Period	0	2	2
Started During A Prior Period	7	12	19
Total Still Open	<u>7</u>	<u>14</u>	<u>21</u>
	BD	IA	Combined
% of registrants examined during current period	0%	0%	0%
% of registrants against whom final action was taken during current period	0%	0%	0%
% of registrants examined against whom final action was taken during current period	0%	0%	0%

NonBranch Sales Office Exam Questionnaires

Total Reviewed **0**

On-Site Exam Aging

Days	Still Open	Completed
0-30	2	0
31-60	0	0
61-90	3	0
Over 90	16	1
Totals	21	1