



STATE OF OKLAHOMA
DEPARTMENT OF SECURITIES

REGULARLY SCHEDULED MEETING AGENDA
Oklahoma Securities Commission
204 North Robinson, Suite 400 Conference Room
Oklahoma City, Oklahoma

September 15, 2016

10:00 a.m.

- I. Call to Order
- II. Acceptance of Minutes for the May 19, 2016 regularly scheduled meeting
- III. Old Business
- IV. Administrator's Report
 - A. Presentation and discussion of the financial reports for the fiscal year ended June 30, 2016, and for the two months ended August 31, 2016
 - B. Presentation and discussion of the reports on the enforcement activities of the Department during the months of May through August 2016
 - C. Presentation and discussion of the reports on the securities registration and exemption activities of the Department as of June 30, 2016, and August 31, 2016
 - D. Presentation and discussion of the reports on the firms and professionals registration activities of the Department during the months of May through August 2016
 - E. Presentation and discussion of the reports on the on-site examinations for the months of May through August 2016
 - F. Presentation and discussion of investor education activities
 - G. Presentation and discussion of state and/or federal legislation or policies affecting operations of the Department of Securities
 - H. Presentation and discussion of report of the North American Securities Administrators Association (NASAA) 2016 Annual Conference
- V. New Business
- VI. Adjournment