

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 27, 2012*

Re: **REGISTRATIONS & EXEMPTIONS REPORT**

Attached hereto please find the report of the activities of the registration and exemption section as of October 31, 2012.

Attachment

Oklahoma Department of Securities
Registrations Division Summary of Applications Processed
 Between 7/1/2012 and 10/31/2012

Application Type	Total Processed	Total with Deficiencies /Comments	% of Total Processed to Total with Deficiencies	Total Granted/ Registered	Total Granted/ Registered/ Correcting After Deficiency	% of Total Granted/ Registered After Correcting Deficiency to Total with Deficiencies	Withdrawn Because of Deficiency	Denied Because of Deficiency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	10	8	80%	0	0	0%	0	0
No Action/Interpretive Opinion	1	0	0%	0	0	0%	0	0
Qualification, Initial	0	0	0%	0	0	0%	0	0
Exemptions	35	5	14%	20	1	20%	0	0
Reg. D Filings (506 only)	218	8	4%	216	6	75%	0	0
Subdivided Land Sales	0	0	0%	0	0	0%	0	0
Public Trust Filings	54	0	0%	16	0	0%	0	0
Totals:	318	21	7%	252	7	33%	0	0