

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 8, 2016*

Re: **REGISTRATIONS & EXEMPTIONS REPORT**

Attached hereto please find the report of the activities of the registration and exemption section as of February 29, 2016.

Attachment

Oklahoma Department of Securities Corporate Finance Division Summary of Applications Processed

For the period 7/1/2015 to 2/29/2016

| 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After Correcting Deficiency | % of Total Granted/ Registered After Correcting Deficiency to Total with Deficiencies | Withdrawn Because of Deficiency | Denied Because of Deficiency |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 | 1 | 0 | 0% | 0 | 0 | 0% | 0 | 0 |
| Coordination, Initial | 17 | 12 | 71% | 2 | 2 | 17% | 0 | 0 |
| No Action/Interpretive Opinion | 0 | 0 | 0% | 0 | 0 | 0% | 0 | 0 |
| Qualification, Initial | 5 | 2 | 40% | 3 | 1 | 50% | 1 | 0 |
| Registered Oklahoma Issuers | 0 | 0 | 0% | 0 | 0 | 0% | 0 | 0 |
| Exemptions | 49 | 3 | 6% | 33 | 3 | 100% | 0 | 0 |
| - Oklahoma Issuers | 3 | 0 | 0% | 3 | 0 | 0% | 0 | 0 |
| Reg. D Filings (506 only) | 496 | 0 | 0% | 476 | 0 | 0% | 0 | 0 |
| - Oklahoma Issuers | 39 | 0 | 0% | 39 | 0 | 0% | 0 | 0 |
| Subdivided Land Sales | 0 | 0 | 0% | 0 | 0 | 0% | 0 | 0 |
| Public Trust Filings | 78 | 0 | 0% | 77 | 0 | 0% | 0 | 0 |
| Totals: | 688 | 17 | 2% | 633 | 6 | 35% | 1 | 0 |