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: ***September 12, 2016***

Re: ***REGISTRATIONS & EXEMPTIONS REPORT***

Attached hereto please find the report of the activities of the registration and exemption section as of August 31, 2016.

Attachment

204 NORTH ROBINSON, SUITE 400 • OKLAHOMA CITY, OK 73102 • (405) 280-7700 • FAX (405) 280-7742
http://www.securities.ok.gov

recycled paper

Oklahoma Department of Securities

Corporate Finance Division Summary of Applications Processed

For the period 7/1/2016 to 8/31/2016

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After Correcting Deficiency	% of Total Granted/ Registered After Correcting Deficiency to Total with Deficiencies	Withdrawn Because of Deficiency	Denied Because of Deficiency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	0	0	0%	0	0	0%	0	0
Coordination, Initial	2	1	50%	0	0	0%	0	0
No Action/Interpretive Opinion	0	0	0%	0	0	0%	0	0
Qualification, Initial	5	0	0%	5	0	0%	0	0
Registered Oklahoma Issuers	0	0	0%	0	0	0%	0	0
Exemptions	8	0	0%	5	0	0%	0	0
- Oklahoma Issuers	0	0	0%	0	0	0%	0	0
Reg. D Filings (506 only)	100	0	0%	85	0	0%	0	0
- Oklahoma Issuers	4	0	0%	3	0	0%	0	0
Subdivided Land Sales	1	0	0%	0	0	0%	0	0
Public Trust Filings	16	0	0%	12	0	0%	0	0
Totals:	**136**	**1**	**1%**	**110**	**0**	**0%**	**0**	**0**