

IRVING L. FAUGHT  
ADMINISTRATOR



MARY FALLIN  
GOVERNOR

STATE OF OKLAHOMA  
DEPARTMENT OF SECURITIES

MEETING AGENDA  
Oklahoma Securities Commission  
The First National Center  
120 North Robinson, Eighth Floor Conference Room  
Oklahoma City, Oklahoma

November 22, 2011

10:00 a.m.

- I. Call to order
- II. Acceptance of minutes for the September 15, 2011 meeting
- III. Old Business
- IV. Administrator's Report
  - A. Presentation and discussion of the financial reports for the months of September and October 2011
  - B. Presentation and discussion of the reports on the enforcement activities of the Department during the months of September and October 2011
  - C. Presentation and discussion of the report on the securities registration and exemption activities of the Department as of October 31, 2011
  - D. Presentation and discussion of the report on the firms and professionals registration activities of the Department during the months of September and October 2011
  - E. Presentation and discussion of the reports on the on-site examinations for the months of September and October 2011
  - 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
- V. Presentation and discussion of Fiscal Year 2011 audited financial statements and audit report
- VI. New Business
- VII. Adjournment