

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:** *January 15, 2016*

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

Attached hereto please find the report of the activities of the registration and exemption section as of December 31, 2015.

Attachment

## Oklahoma Department of Securities

### Corporate Finance Division Summary of Applications Processed

For the period 7/1/2015 to 12/31/2015

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Total Granted/Registered After Correcting Deficiency	% of Total Granted/Registered After Correcting Deficiency	Withdrawn Because of Deficiency	Denied Because of Deficiency
Business Opportunity Reg., Initial	0	0	0%	0	0	0%	0	0
Coordination, Initial	11	6	55%	2	2	33%	0	0
No Action/Interpretive Opinion	0	0	0%	0	0	0%	0	0
Qualification, Initial	4	1	25%	2	1	100%	0	0
Registered Oklahoma Issuers	0	0	0%	0	0	0%	0	0
Exemptions	36	3	8%	22	2	67%	0	0
- Oklahoma Issuers	2	0	0%	2	0	0%	0	0
Reg. D Filings (506 only)	382	0	0%	335	0	0%	0	0
- Oklahoma Issuers	29	0	0%	25	0	0%	0	0
Subdivided Land Sales	0	0	0%	0	0	0%	0	0
Public Trust Filings	69	0	0%	46	0	0%	0	0
<b>Totals:</b>	<b>533</b>	<b>10</b>	<b>2%</b>	<b>434</b>	<b>5</b>	<b>50%</b>	<b>0</b>	<b>0</b>