

MINUTES OF THE MEETING
OF THE
OKLAHOMA SECURITIES COMMISSION

January 16, 2014

Pursuant to the previously announced date and time, a meeting of the Oklahoma Securities Commission (Commission) convened at 10:00 a.m., January 16, 2014, in the conference room of the Oklahoma Department of Securities, Oklahoma City, Oklahoma. The following members were present:

P. David Newsome, Jr., Chairperson
Robert M. Neville, Vice Chairperson
Nancy Hyde, Member
Mick Thompson, Ex-Officio Member

Charles E. Newton, Member, was not in attendance.

The following persons were also present:

Irving L. Faight, Administrator, Department of Securities
Melanie Hall, Deputy Administrator, Department of Securities
Stephanie Ballard, Crawford & Associates, P.C.
Robert Fagnant, Assistant Director of Enforcement for Investigations, Department of Securities
Oliver Blaha, Investigator, Department of Securities

Mr. Newsome officially opened the meeting. Notice of the date, time, and place of the meeting was given in accordance with applicable laws and rules.

The minutes of the November 19, 2013 meeting were accepted as presented.

There was no Old Business.

Stephanie Ballard presented the financial report through December 31, 2013.

The Administrator and Deputy Administrator presented the activities of the Department for the months of November 2013 and December 2013, as contained in the written reports distributed to the Commissioners and incorporated herein by reference. The Administrator reported on the plan for future training sessions sponsored by the Department for investment advisers registered under this State's securities laws.

There was no New Business.

The meeting was adjourned.