

GOVERNOR RICK SCOTT

WEEKLY AGENCY REPORT

OFFICE OF FINANCIAL REGULATION

WEEK ENDING JANUARY 08, 2015

Successes for Week Ending January 08, 2015

1. Licensing and Registration

- Division of Securities
 - Applications Received: 1,589
 - Applications Approved: 1,371
 - Applications Denied/Withdrawn: 6

- Division of Consumer Finance
 - Applications Received: 398
 - Applications Approved: 360
 - Applications Denied/Withdrawn: 10

- Division of Financial Institutions
 - Applications Received: 1
 - Applications Approved: 2

2. Regulatory Sanctions

Fine Assessed for Unlicensed Activity

On December 30, 2014, the Division of Consumer Finance entered a Final Order against Commonwealth Foreign Exchange, Inc., for unlicensed money transmission activity. An administrative fine of \$76,750 was paid and licensure was granted.

New Issues

No new issues to report this week.