

GOVERNOR RICK SCOTT

WEEKLY AGENCY REPORT

OFFICE OF FINANCIAL REGULATION

WEEK ENDING FEBRUARY 20, 2014

Successes for Week Ending February 20, 2014

1. Licensing and Registration

- Division of Securities
 - Applications Received: 970
 - Applications Approved: 986
 - Applications Denied/Withdrawn: 18

- Division of Consumer Finance
 - Applications Received: 365
 - Applications Approved: 383
 - Applications Denied/Withdrawn: 26

- Division of Financial Institutions
 - Applications Received: 4
 - Applications Approved: 1
 - Applications Denied/Withdrawn: 0

2. Regulatory Actions

Denial of Associated Person

On February 13, 2014, the Division of Securities entered a Final Order against Solomon Evan James, denying his application for registration as an associated person, after he failed to request a hearing. The Final Order follows a Notice of Intent to Deny, which alleged Mr. Solomon made a material misrepresentation or misstatement on his application for registration.

Suspension of Associated Person

On February 13, 2014, the Division of Securities entered a Final Order against Barry Rabinowitz, suspending his application for registration as an associated person, after he failed to request a hearing. The Final Order follows a Notice of Intent to Suspend, which alleged Mr. Rabinowitz was arrested and charged with criminal conduct that involves moral turpitude.

Denial of Investment Adviser Firm

On February 17, 2014, the Division of Securities entered a Final Order against Gordon, Gelley & Co, PLLC, denying the firm's application for registration as an investment adviser, after the firm failed to request a hearing. The Final Order follows a Notice of Intent to Deny, which alleged Gordon, Gelley & Co, PLLC,

engaged in unregistered investment advisory activities, misrepresented the qualifications of the investment adviser firm and misrepresented the qualifications of an employee of the investment adviser.

New Issues

No new issues to report this week.