

GOVERNOR RICK SCOTT

WEEKLY AGENCY REPORT

OFFICE OF FINANCIAL REGULATION

WEEK ENDING MARCH 20, 2014

Successes for Week Ending March 20, 2014

1. Licensing and Registration

- Division of Securities
 - Applications Received: 910
 - Applications Approved: 884
 - Applications Denied/Withdrawn: 8

- Division of Consumer Finance
 - Applications Received: 881
 - Applications Approved: 838
 - Applications Denied/Withdrawn: 13

- Division of Financial Institutions
 - Applications Received: 3
 - Applications Approved: 0
 - Applications Denied/Withdrawn: 0

2. Regulatory Actions

Denial of Associated Person

On March 13, 2014, the Division of Securities entered a Final Order against Andrew Scott Rosenbaum, 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. Rosenbaum made a material misrepresentation or misstatement on his application for registration.

Final Order for Fines totaling \$8,000 against an Investment Adviser Firm for Prohibited Business Practices

On March 13, 2014, the Division of Securities entered a Final Order against Brickell Investments, LLC, and Alexander Tommasino, for failing to prepare and maintain financial statements; file timely annual financial statements; maintain an accurate Form ADV; maintain required net capital; and send clients itemized invoices. Fines totaling \$8,000 were paid.

Final Order against an Unregistered Offeror of Securities to Cease and Desist

On March 13, 2014, the Division of Securities entered a Final Order against Garden of Eden Organic Growing Products, Inc., to cease and desist from operating as an offeror of securities, after the firm failed to request a hearing. The

Final Order follows an Order to Cease and Desist, which alleged Garden of Eden Organic Growing Products, Inc., operated as an unregistered offeror of securities.

New Issues

1. Outreach Activities

On March 18, 2014, the OFR issued a consumer alert to raise awareness of virtual currencies.

[Consumer Alert: Virtual Currencies](#)