

GOVERNOR RICK SCOTT

WEEKLY AGENCY REPORT

OFFICE OF FINANCIAL REGULATION

WEEK ENDING September 24, 2015

Successes for Week Ending September 24, 2015

1. Licensing and Registration

- Division of Securities
 - Applications Received: 1,118
 - Applications Approved: 1,073
 - Applications Denied/Withdrawn: 17

- Division of Consumer Finance
 - Applications Received: 283
 - Applications Approved: 283
 - Applications Denied/Withdrawn: 8

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 - Applications Denied/Withdrawn: 0

2. Regulatory Sanctions

Suspension and \$15,000 Fine Against an Associated Person for Unauthorized Discretion

On September 16, 2015, the Division of Securities entered a final order against Scott Allen Sibley for exercising discretion in clients' accounts without the clients' written authority. Pursuant to the final order, Mr. Sibley's registration as an associated person is suspended for 15 days. After the suspension is completed, Mr. Sibley will be subject to a registration agreement. A \$15,000 administrative fine was paid.

Final Order for \$7,500 Fine Against an Associated Person for Unregistered Activity

On September 16, 2015, the Division of Securities entered a final order against George Sirigotis for engaging in unregistered investment advisory activities. A \$7,500 administrative fine was paid.

Final Order for \$18,750 Fine against an Associated Person for Unregistered Activity

On September 22, 2015, the Division of Securities entered a final order against Judith A. McCann for engaging in unregistered investment advisory activities. An \$18,750 administrative fine was paid.

New Issues

1. Communications and Outreach Activities

On September 17, 2015, two members of the Division of Financial Institutions represented the OFR at the South Florida Interagency Meeting at the Federal Reserve Bank in Miami.

On September 18, 2015, an opinion-editorial by Commissioner Drew Breakspear was featured in the Pensacola News Journal.

[Viewpoint: Fight Financial Fraud](#)