

**GOVERNOR RICK SCOTT**  
**WEEKLY EOG AGENCY REPORT**  
**OFFICE OF FINANCIAL REGULATION**  
**WEEK ENDING JANUARY 3, 2013**

**Successes for Week Ending January 3, 2013**

**1. Licensing and Registration**

- Division of Securities
  - Applications Received: 0
  - Applications Approved: 0
  - Applications Denied/Withdrawn: 0

\*The Central Registration Depository (CRD) was unavailable due to the holiday schedule and for CRD processing. The system is available for querying purposes only.

- Division of Consumer Finance
  - Applications Received: 217
  - Applications Approved: 195
  - Applications Denied/Withdrawn: 4

**2. Regulatory Sanctions**

Revocation and Permanent Bar against Investment Adviser Firm and Associated Person for Fraudulent Business Practices

On December 31, 2012, the Division of Securities entered a Final Order against David James Grasse and Grasse Capital Management, LLC for engaging in fraudulent transactions. All licenses and registrations issued to David Grasse and Grasse Capital Management, LLC were permanently revoked. In addition, David James Grasse and Grasse Capital Management, LLC were permanently barred from seeking future registration as a dealer, investment adviser or associated person under the Florida Securities and Investor Protection Act, Chapter 517, F.S.

**New Issues**

No new issues to report this week.