

GOVERNOR RICK SCOTT
WEEKLY EOG AGENCY REPORT
OFFICE OF FINANCIAL REGULATION
WEEK ENDING October 11, 2012

Successes for Week Ending October 11, 2012

1. Licensing and Registration

The Division of Securities received 1,075 applications, approved 1,051 applications; and 0 applications were denied or withdrawn.

The Division of Consumer Finance received 439 applications, approved 420 applications, and 16 applications were denied or withdrawn.

2. Regulatory Sanctions

[Suspension and \\$6000 Fine against an Investment Adviser Firm for Failure to File Financial Statements](#)

On October 4, 2012, the Division of Securities entered a Final Order against Wright Direction.Com, LLC suspending their registration as an investment adviser in Florida for failure to properly file financial statements. A \$6,000 administrative fine was assessed.

3. New Additions/Recognitions

On October 9, 2012, Drew Breakspear was appointed by the Financial Services Commission as the new OFR Commissioner. Breakspear most recently served as Executive Vice President and General Auditor at State Street Corporation, joining the company in 1995. Breakspear will assume his role November 5, 2012. [COMMISSIONER DREW BREAKSPEAR APPOINTED TO THE OFR](#)

New Issues

No new issues to report this week.