

GOVERNOR RICK SCOTT

WEEKLY EOG AGENCY REPORT

OFFICE OF FINANCIAL REGULATION

WEEK ENDING NOVEMBER 29, 2012

Successes for Week Ending November 29, 2012

1. Licensing and Registration

- Division of Securities
 - Applications Received: 662
 - Applications Approved: 567
 - Applications Denied/Withdrawn: 4

- Division of Consumer Finance
 - Applications Received: 263
 - Applications Approved: 189
 - Applications Denied/Withdrawn: 8

2. Regulatory Sanctions

Denial of Broker Dealer Agent

On November 26, 2012, the Division of Securities entered a Final Order against Matthew Regan Cecil, denying his application for registration as a broker dealer agent, for making a material misrepresentation or misstatement on his application for registration.

Denial of Broker Dealer Agent

On November 26, 2012, the Division of Securities entered a Final Order against Eric Thomas Dickerson, denying his application for registration as a broker dealer agent, after he failed to request a hearing. The Final Order follows a Notice of Intent to Deny which alleged Mr. Dickerson engaged in a disqualifying event.

Denial of Broker Dealer Agent

On November 27, 2012, the Division of Securities entered a Final Order against Thomas Cypoliski, denying his application for registration as a broker dealer agent, after he failed to request a hearing. The Final Order follows a Notice of Intent to Deny which alleged Mr. Cypoliski made a material misrepresentation or misstatement on his application for registration.

Denial of Associated Person

On November 27, 2012, the Division of Securities entered a Final Order of against Lauren Ann Grady, denying her application for registration as an associated person of a federal covered investment adviser, after she failed to

request a hearing. The Final Order follows a Notice of Intent to Deny which alleged Ms. Grady made a material misrepresentation or misstatement on her application for registration.

New Issues

No new issues to report this week.