

# GOVERNOR RICK SCOTT

## WEEKLY EOG AGENCY REPORT

### OFFICE OF FINANCIAL REGULATION

WEEK ENDING NOVEMBER 8, 2012

#### Successes for Week Ending November 8, 2012

##### 1. Licensing and Registration

The Division of Securities received 743 applications and approved 668 applications; 9 applications were denied or withdrawn.

The Division of Consumer Finance received 573 applications, approved 600 applications, and 18 applications were denied or withdrawn.

##### 2. Regulatory Sanctions

###### Permanent Bar against Broker Dealer Agent for Sale of Unregistered Securities

On November 2, 2012, the Division of Securities entered a Final Order against Christopher George Coulther for selling unregistered securities and participating in private securities transactions without required consent from his employing firm. Mr. Coulther was barred from seeking future licensure and/or registration with the Office of Financial Regulation.

###### Permanent Bar of Two Unregistered Agents for Offering and Selling Unregistered Securities

On November 2, 2012, the Division of Securities entered a Final Order against Charlotte B. Oliver and Robert T. Oliver for engaging in securities business in Florida without being registered and for offering and selling unregistered securities. Charlotte B. Oliver and Robert T. Oliver were 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.