

# GOVERNOR RICK SCOTT

## WEEKLY AGENCY REPORT

### OFFICE OF FINANCIAL REGULATION

WEEK ENDING DECEMBER 1, 2016

#### Successes for Week Ending December 1, 2016

##### 1. Licensing and Registration

- Division of Securities
  - Applications Received: 587
  - Applications Approved: 589
  - Applications Denied/Withdrawn: 6
  
- Division of Consumer Finance
  - Applications Received: 334
  - Applications Approved: 337
  - Applications Denied/Withdrawn: 7
  
- Division of Financial Institutions
  - Applications Received: 0
  - Applications Approved: 1
  - Applications Denied/Withdrawn: 0

##### 2. Regulatory Actions

###### Final Order for \$19,980 Fine Against a Broker Dealer Firm and Associated Person for Unregistered Activity

On November 18, 2016, the Division of Securities entered a final order against Dubeau Capital USA, Inc., and Eric Caouette for engaging in unregistered securities business activity. A \$19,980 administrative fine was paid.

###### Denial of Associated Person

On November 23, 2016, the Division of Securities entered a final order against David L. Bennett denying his applications for registration as an associated person for making a material misrepresentation or misstatement on his applications for registration.

#### New Issues

No new issues to report this week.