

GOVERNOR RICK SCOTT

WEEKLY AGENCY REPORT

OFFICE OF FINANCIAL REGULATION

WEEK ENDING DECEMBER 12, 2013

Successes for Week Ending December 12, 2013

1. Licensing and Registration

- Division of Securities
 - Applications Received: 917
 - Applications Approved: 928
 - Applications Denied/Withdrawn: 19

- Division of Consumer Finance
 - Applications Received: 279
 - Applications Approved: 325
 - Applications Denied/Withdrawn: 28

- Division of Financial Institutions
 - Applications Received: 4
 - Applications Approved: 1
 - Applications Denied/Withdrawn: 0

2. Regulatory Actions

Denial of Loan Originator Application

On December 5, 2013, the Division of Consumer Finance entered a Final Order, denying the loan originator application for Stacey James Blake. In 2005 the Security and Exchange Commission barred Mr. Blake from association with any broker dealer and ordered him to pay a fine of \$275,594 and an additional \$50,000 penalty for selling unregistered securities.

New Issues

No new issues to report this week.