

**GOVERNOR RICK SCOTT**  
**WEEKLY EOG AGENCY REPORT**  
**OFFICE OF FINANCIAL REGULATION**  
**WEEK ENDING DECEMBER 6, 2012**

**Successes for Week Ending December 6, 2012**

**1. Licensing and Registration**

- Division of Securities
  - Applications Received: 917
  - Applications Approved: 889
  - Applications Denied/Withdrawn: 10
  
- Division of Consumer Finance
  - Applications Received: 249
  - Applications Approved: 269
  - Applications Denied/Withdrawn: 19

**2. Regulatory Sanctions**

Final Order for \$10,000 Fine against Broker Dealer Agent for Prohibited Business Practices

On November 29, 2012, the Division of Securities entered a Final Order against Steven Lloyd Holland for engaging in prohibited business practices by using an advertising brochure that had not been approved by his employing broker dealer firm. A \$10,000 administrative fine was paid.

Permanent Bar against Broker Dealer Agent for Fraudulent Transactions

On November 30, 2012, the Division of Securities entered a Final Order against Richard A. Finger, Jr. as result of his admission of fraud in a November 2011 plea agreement. Mr. Finger was 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.