

GOVERNOR RICK SCOTT
WEEKLY EOG AGENCY REPORT
OFFICE OF FINANCIAL REGULATION
WEEK ENDING FEBRUARY 7, 2013

Successes for Week Ending February 7, 2013

1. Licensing and Registration

- Division of Securities
 - Applications Received: 857
 - Applications Approved: 766
 - Applications Denied/Withdrawn: 9

- Division of Consumer Finance
 - Applications Received: 361
 - Applications Approved: 337
 - Applications Denied/Withdrawn: 35

2. Regulatory Sanctions

Permanent Bar of Unregistered Agent for Unregistered Activity

On January 30, 2013, the Division of Securities entered a Final Order against Parry W. Clark for selling unregistered securities and engaging in securities business in Florida without being registered. Parry W. Clark was permanently 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.

Permanent Bar of Unregistered Agent for Unregistered Activity

On January 30, 2013, the Division of Securities entered a Final Order against Robert L. Cicetti for offering and selling unregistered securities, and for engaging in securities business in Florida without being registered. Robert L. Cicetti was permanently 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.

Final Order for \$70,000 Fine and \$100,000 Damages to Investors against a Broker Dealer, Investment Adviser and Agents for Violations of the Florida Securities and Investor Protection Act, Chapter 517, F.S., involving Variable Annuity Contracts

On January 30, 2013, the Division of Securities entered a Final Order against Prime Capital Services, Inc., Asset & Financial Planning, Ltd., Scott Aabel, Antonio Gomes and Richard Caparelli, for violations of the Florida Securities and Investor Protection Act, Chapter 517, F.S. Violations involved the failure to

disclose that the deduction of management fees associated with certain variable annuity contracts would negatively impact one of the annuity contract's riders. Pursuant to the terms of the agreement, the firms and individuals shall pay a \$70,000 administrative fine, \$100,000 to impacted investors, and \$26,175 in costs to the Division.

New Issues

No news issues to report this week.