

GOVERNOR RICK SCOTT

WEEKLY AGENCY REPORT

OFFICE OF FINANCIAL REGULATION

WEEK ENDING MAY 28, 2015

Successes for Week Ending May 28, 2015

1. Licensing and Registration

- Division of Securities
 - Applications Received: 1,049
 - Applications Approved: 1,042
 - Applications Denied/Withdrawn: 6

- Division of Consumer Finance
 - Applications Received: 358
 - Applications Approved: 393
 - Applications Denied/Withdrawn: 17

- Division of Financial Institutions
 - Applications Received: 0
 - Applications Approved: 0

2. Regulatory Sanctions

Final Order for \$13,750 Fine Against an Associated Person for Unregistered Activity

On May 21, 2015, the Division of Securities entered a Final Order against Raymond D. Mignone for engaging in unregistered investment advisory activities. A \$13,750 administrative fine was paid.

Final Order for \$13,750 Fine Against an Associated Person for Unregistered Activity

On May 21, 2015, the Division of Securities entered a Final Order against Douglas Huddleston for engaging in unregistered investment advisory activities. A \$10,000 administrative fine was paid.

New Issues

No new issues to report this week.