

GOVERNOR RICK SCOTT

WEEKLY AGENCY REPORT

OFFICE OF FINANCIAL REGULATION

WEEK ENDING NOVEMBER 10, 2016

Successes for Week Ending November 10, 2016

1. Licensing and Registration

- Division of Securities
 - Applications Received: 1,018
 - Applications Approved: 969
 - Applications Denied/Withdrawn: 14

- Division of Consumer Finance
 - Applications Received: 185
 - Applications Approved: 275
 - Applications Denied/Withdrawn: 11

- Division of Financial Institutions
 - Applications Received: 2
 - Applications Approved: 2
 - Applications Denied/Withdrawn: 0

2. Regulatory Actions

Denial of Associated Person

On November 1, 2016, the Division of Securities entered a final order against Michael C. Ahlberg denying his applications for registration as an associated person for making a material misrepresentation or misstatement on his applications for registration.

Final Order for \$7,500 Fine Against an Investment Adviser Firm and Associated Person for Violations of Rules

On November 1, 2016, the Division of Securities entered a final order against Tatco Private Wealth Management, LLC and Tarkan Toksu for violations of rules by failing to maintain an accurate Form ADV, send client itemized invoices, maintain written client advisory agreements, file audited financial statements, maintain written investment advisory client suitability information for all of its clients and maintain books and records in the firm's principal office. A \$7,500 administrative fine was paid.

Final Order for \$7,500 Fine Against an Associated Person for Unregistered Activity

On November 3, 2016, the Division of Securities entered a final order against Jose Arquimedes Eustaquio for engaging in unregistered securities business activity. A \$7,500 administrative fine was paid.

New Issues

No new issues to report this week.