

Section I

Notice of Development of Proposed Rules and Negotiated Rulemaking

**DEPARTMENT OF BUSINESS AND PROFESSIONAL
REGULATION**

**Division of Florida Condominiums, Timeshares and
Mobile Homes**

RULE NO.: RULE TITLE:

61B-23.0051 Cable Television Service

PURPOSE AND EFFECT: To amend Rule 61B-23.0051, F.A.C., in order to update and bring current with changes made since the last rule amendment.

SUBJECT AREA TO BE ADDRESSED: The proposed rulemaking amends Rule 61B-23.0051, F.A.C., in order to update and bring current with changes made since the last rule amendment.

RULEMAKING AUTHORITY: 718.501(1)(f), FS.

LAW IMPLEMENTED: 718.501(1)(d), FS.

IF REQUESTED IN WRITING AND NOT DEEMED UNNECESSARY BY THE AGENCY HEAD, A RULE DEVELOPMENT WORKSHOP WILL BE NOTICED IN THE NEXT AVAILABLE FLORIDA ADMINISTRATIVE REGISTER.

THE PERSON TO BE CONTACTED REGARDING THE PROPOSED RULE DEVELOPMENT AND A COPY OF THE PRELIMINARY DRAFT, IF AVAILABLE, IS: : Rikki Anderson, Government Analyst, Division of Condominiums, Timeshares, and Mobile Homes, Department of Business and Professional Regulation, 2601 Blair Stone Road, Tallahassee, Florida 32399, (850)717-1415.

THE PRELIMINARY TEXT OF THE PROPOSED RULE DEVELOPMENT IS NOT AVAILABLE.

Section II

Proposed Rules

DEPARTMENT OF FINANCIAL SERVICES

Securities

RULE NO.: RULE TITLE:

69W-200.002 General Industry Standards Incorporated by Reference

PURPOSE AND EFFECT: The purpose and effect is to amend the existing rule to incorporate by reference the current versions of general industry standards and to incorporate one new material by reference, Regulation S-P § 248.30 (17 C.F.R. §248.30) (4-1-18 edition). Brokers, dealers, and federally covered advisers are already required to comply with Regulation S-P §248.30, which requires the adoption of written policies and procedures that address administrative, technical,

and physical safeguards for the protection of customer records and information. Additionally, the proposed amendment reorders the rule and deletes duplicative provisions to improve organization.

SUMMARY: The proposed amended rule incorporates by reference the current versions of the general industry standards and adds subsection (37) to incorporate Regulation S-P § 248.30 (17 C.F.R. §248.30) (4-1-18 edition). Additionally, the proposed amendment reorders the rule and deletes duplicative provisions to improve organization.

SUMMARY OF STATEMENT OF ESTIMATED REGULATORY COSTS AND LEGISLATIVE RATIFICATION:

The Agency has determined that this will not have an adverse impact on small business or likely increase directly or indirectly regulatory costs in excess of \$200,000 in the aggregate within one year after the implementation of the rule. A SERC has not been prepared by the Agency.

The Agency has determined that the proposed rule is not expected to require legislative ratification based on the statement of estimated regulatory costs or if no SERC is required, the information expressly relied upon and described herein: The Agency expressly relies on an analysis of potential economic impact conducted by persons with subject matter knowledge of these rules.

Any person who wishes to provide information regarding a statement of estimated regulatory costs, or provide a proposal for a lower cost regulatory alternative must do so in writing within 21 days of this notice.

RULEMAKING AUTHORITY: 517.03(1), 517.1215(2), 517.1217 FS.

LAW IMPLEMENTED: 517.081, 517.12(4), 517.1215, 517.1217, 517.161(1) FS.

IF REQUESTED WITHIN 21 DAYS OF THE DATE OF THIS NOTICE, A HEARING WILL BE SCHEDULED AND ANNOUNCED IN THE FAR.

THE PERSON TO BE CONTACTED REGARDING THE PROPOSED RULE IS: Ryann White, Division of Securities (850) 410-9803, Ryann.White@flofr.com

THE FULL TEXT OF THE PROPOSED RULE IS:

Substantial rewording of Rule 69W-200.002 follows. See Florida Administrative Code for present text.

69W-200.002 General Industry Standards Incorporated by Reference.

The following general industry standards as expressed in the statutes, rules and regulations of the various federal and self-regulatory agencies and regulatory associations and referenced in division 69W, F.A.C., are hereby incorporated by reference and adopted by this rule. The material incorporated by reference

in this rule may also be obtained from the Florida Office of Financial Regulation (Office), Division of Securities' website at <http://www.flofr.com/sitePages/MaterialsDS.htm>, except where noted for copyright restrictions. Materials subject to copyright restrictions may be inspected and examined by contacting the Florida Office of Financial Regulation, Division of Securities, at 200 E. Gaines Street, Tallahassee, Florida 32399, (850)487-9687.

(1) Section 4f(a) of the Commodity Exchange Act (7 U.S.C. §6f) (2012), accessible at

<http://www.flrules.org/Gateway/reference.asp?No=Ref-04566>.

(2) Sections 2, 3, 4, 5, 6, 7, 8, and 10(a) of the Securities Act of 1933, (15 U.S.C. §§77b, 77c, 77d, 77e, 77f, 77g, 77h, and 77j) (6-4-19), accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-XXXXX>.

(3) Securities Exchange Act of 1934 (15 U.S.C. §§78a through 78qq) (4-3-19), accessible at

<http://www.flrules.org/Gateway/reference.asp?No=Ref-XXXXX>.

(4) Investment Company Act of 1940 (15 U.S.C. §80a-1 through 80a-64) (4-3-19), accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-XXXXX>.

(5) The Investment Advisers Act of 1940 (15 U.S.C. §80b-1 through 80b-21) (3-11-19), accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-XXXXX>.

(6) Section 422 of the Internal Revenue Code (26 U.S.C. §422) (4-2-19), accessible at

<http://www.flrules.org/Gateway/reference.asp?No=Ref-XXXXX>.

(7) Section 501(c)(3) of the Internal Revenue Code (26 U.S.C. §501(c)(3)) (3-30-10), accessible at

<http://www.flrules.org/Gateway/reference.asp?No=Ref-04579>.

(8) Section 642(c)(5) of the Internal Revenue Code of 1954 (26 U.S.C. §642(c)(5)) (1-23-02), accessible at

<http://www.flrules.org/Gateway/reference.asp?No=Ref-04527>.

(9) Sections 856, 857 and 858 of the Internal Revenue Code of 1954 (26 U.S.C. §§856 through 858) (3-11-19), accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-XXXXX>.

(10) Employee Retirement Income Security Act of 1974 (Pub.L. 93-406) (4-7-14), accessible at

<http://www.flrules.org/Gateway/reference.asp?No=Ref-04578>.

(11) National Securities Markets Improvement Act of 1996 (Pub. L. 104-290) (10-11-96), accessible at

<http://www.flrules.org/Gateway/reference.asp?No=Ref-04565>.

(12) Regulation T (12 C.F.R. §§220.1 through 220.12, 220.101, 220.103, 220.105, 220.108, 220.110, 220.111, 220.113, 220.117, 220.118, 220.119, 220.121, 220.122, 220.123, 220.124, 220.127, 220.128, 220.131, 220.132); and 12 C.F.R. §221.125 of Regulation U (1-1-13 edition), accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-04544>.

(13) Regulation S-X (17 C.F.R. Part 210) (4-1-18 edition), accessible at

<http://www.flrules.org/Gateway/reference.asp?No=Ref-XXXXX>.

(14) SEC Rules 134, 134a, 135a, 144, 156, 419, 481 and 482, (17 C.F.R. §§230.134, 230.134a, 230.135a, 230.144, 230.156, 230.419, 230.481 and 230.482) (4-1-13 edition), accessible at

<http://www.flrules.org/Gateway/reference.asp?No=Ref-04557>.

(15) SEC Rule 144A (17 C.F.R. §230.144A(a)) (9-23-13), accessible at

<http://www.flrules.org/Gateway/reference.asp?No=Ref-04521>.

(16) Regulation A (17 C.F.R. §§230.251 through 230.263) (4-1-18 edition), accessible at

<http://www.flrules.org/Gateway/reference.asp?No=Ref-XXXXX>.

(17) SEC Rule 415 (17 C.F.R. §230.415) (4-1-18 edition), accessible at

<http://www.flrules.org/Gateway/reference.asp?No=Ref-XXXXX>.

(18) SEC Rule 501(a) of Regulation D (17 C.F.R. §230.501(a)) (4-1-18 Edition), accessible at

<http://www.flrules.org/Gateway/reference.asp?No=Ref-XXXXX>.

(19) SEC Rule 701 (17 C.F.R. §230.701) (4-1-13 edition), accessible at

<http://www.flrules.org/Gateway/reference.asp?No=Ref-04530>.

(20) Regulation S (17 C.F.R. §§230.901 through 230.905) (4-1-13 edition), accessible at

<http://www.flrules.org/Gateway/reference.asp?No=Ref-04528>.

(21) SEC Rule 8c-1, (17 C.F.R. §240.8c-1) (4-1-14 edition), accessible at

<http://www.flrules.org/Gateway/reference.asp?No=Ref-04545>.

(22) SEC Rule 9b-1 (17 C.F.R. §240.9b-1) (4-1-14 edition), accessible at

<http://www.flrules.org/Gateway/reference.asp?No=Ref-04537>.

(23) SEC Rules 10b-1, 10b-3, 10b-5, 10b5-1, 10b5-2, 10b-9, 10b-10, 10b-16, 10b-17, 10b-18, and 10b-21 (17 C.F.R. §§240.10b-1, 240.10b-3, 240.10b-5, 240.10b5-1, 240.10b5-2, 240.10b-9, 240.10b-10, 240.10b-16, 240.10b-17, 240.10b-18, and 240.10b-21) (4-1-14 edition), accessible at

<http://www.flrules.org/Gateway/reference.asp?No=Ref-04538>.

(24) SEC Rule 15a-6(b)(4)(i) (17 C.F.R. §240.15a-6) (4-1-14 edition), accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-04580>.

(25) SEC Rules 15c1-1 through 15c1-3 and 15c1-5 through 15c1-9 (17 C.F.R. §§240.15c1-1 through 240.15c1-3 and 240.15c1-5 through 240.15c1-9) (4-1-14 edition), accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-04539>.

(26) SEC Rules 15c2-1, 15c2-4, 15c2-5, 15c2-7, 15c2-8, 15c2-11, and 15c2-12 (17 C.F.R. §§240.15c2-1, 240.15c2-4, 240.15c2-5, 240.15c2-7, 240.15c2-8, 240.15c2-11, and 240.15c2-12) (4-1-18 edition), accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-XXXXX>.

(27) SEC Rule 15c3-1 and appendices (17 C.F.R. §240.15c3-1 (7-7-14); 17 C.F.R. §240.15c3-1a (7-7-14); 17 C.F.R. §240.15c3-1b (8-9-84); 17 C.F.R. §240.15c3-1c (12-2-92); 17 C.F.R. §240.15c3-1d (6-5-08); 17 C.F.R. §240.15c3-1e (7-7-14); 17 C.F.R. §240.15c3-1f (7-7-14); 17 C.F.R. §240.15c3-1g (7-7-14)), accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-04571>.

(28) SEC Rule 15c3-3 and Exhibit A (17 C.F.R. §240.15c3-3 (4-1-14 edition) and 240.15c3-3a (7-7-14)), accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-04573>.

(29) SEC Rules 15g-1 through 15g-6, 15g-8, and 15g-9 (17 C.F.R. §§240.15g-1 through 240.15g-6, 240.15g-8 and 240.15g-9) (4-1-18 edition), accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-XXXXX>.

(30) SEC Rules 17a-3 and 17a-4 (17 C.F.R. §§240.17a-3 and 240.17a-4) (4-1-14 edition), accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-04568>.

(31) SEC Rules 17a-5 (17 C.F.R. §240.17a-5) (6-1-14) and 17a-10 (17 C.F.R. §240.17a-10) (12-9-81), accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-04523>.

(32) SEC Rule 17a-11 (17 C.F.R. §240.17a-11) (6-1-14), accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-04572>.

(33) SEC Rule 17f-2 (17 C.F.R. §240.17f-2) (4-1-13 edition), accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-04533>.

(34) Regulation M (17 C.F.R. §242.100 through 242.105) (4-1-14 edition), accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-04542>.

(35) Regulation SHO (17 C.F.R. §§242.200-242.203) (4-1-14 edition), accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-04559>.

(36) SEC Rule 601 (17 C.F.R. §242.601) (4-1-14 edition), accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-04543>.

(37) Regulation S-P §248.30 (17 C.F.R. §248.30) (4-1-18 edition), accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-XXXXX>.

(38) SEC Rules 204-1, 204-2, 204-3, 205-1, 205-2, 205-3, 206(3)-1, 206(3)-2, 206(4)-1, 206(4)-3 (17 C.F.R. §275.204-1; 17 C.F.R. §275.204-2; 17 C.F.R. §275.204-3; 17 C.F.R. §275.205-1; 17 C.F.R. §275.205-2; 17 C.F.R. §275.205-3; 17 C.F.R. §275.206(3)-1; 17 C.F.R. §275.206(3)-2; 17 C.F.R. §275.206(4)-1; 17 C.F.R. §275.206(4)-3) (4-1-18 edition), accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-XXXXX>.

(39) Article 6, Rule 11 of NYSE Chicago Inc. (existing as of 3-10-19), available for inspection at the Office due to copyright restrictions.

(40) FASB Rule ASC 946-210-50 (existing as of 2-3-15), available for inspection at the Office due to copyright restrictions.

(41) FINRA Rule 1240 (existing as of 2-22-19), accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-XXXXX>.

(42) FINRA Rule 2000 Series (2010 through 2370) (existing as of 3-8-19), accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-XXXXX>.

(43) FINRA Rule 3000 Series (3110 through 3310) (existing as of 3-8-19), accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-XXXXX>.

(44) FINRA Rule 4000 Series (4110 through 4590) (existing as of 3-8-19), accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-XXXXX>.

(45) FINRA Rule 5000 Series (5110 through 5350) (existing as of 3-8-19), accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-XXXXX>.

(46) FINRA Rule 6000 Series (6110 through 6898) (existing as of 3-8-19), accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-XXXXX>.

(47) FINRA Rule 7000 Series (7110 through 7730) (existing as of 3-8-19), accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-XXXXX>.

(48) FINRA Rule 11000 Series (11100 through 11900) (existing as of 3-8-19), accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-XXXXX>.

(49) NASD Conduct Rules 2340 and 2510 (existing as of 3-8-19), accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-XXXXX>.

(50) NASD Conduct Rules 3140, 3150, and IM-3150 (existing as of 3-8-19), accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-XXXXX>.

(51) MSRB Definitional Rules D-1 to D-15, and General Rules G-1 to G-48 (existing as of 10-1-18), available for inspection at the Office due to copyright restrictions.

(52) NYSE Rule 341A (existing as of 3-11-19), available for inspection at the Office due to copyright restrictions.

(53) NYSE Rule 345A (existing as of 3-10-19), available for inspection at the Office due to copyright restrictions.

(54) NYSE Rules 412 and 435 (existing as of 2-21-19), available for inspection at the Office due to copyright restrictions.

Rulemaking Authority 517.03(1), 517.1215(2), 517.1217 FS. Law Implemented 517.081, 517.12(4), 517.1215, 517.1217, 517.161(1) FS. History--New 9-22-14, Amended 5-6-15,_____.

NAME OF PERSON ORIGINATING PROPOSED RULE:
Alisa G. Goldberg, Acting Director, Division of Securities
NAME OF AGENCY HEAD WHO APPROVED THE PROPOSED RULE: Financial Services Commission
DATE PROPOSED RULE APPROVED BY AGENCY HEAD: July 25, 2019
DATE NOTICE OF PROPOSED RULE DEVELOPMENT PUBLISHED IN FAR: June 20, 2019

DEPARTMENT OF FINANCIAL SERVICES

Securities

RULE NO.: RULE TITLE:
69W-301.002 Processing of Applications and Notice-Filings

PURPOSE AND EFFECT: The purpose and effect is to repeal this rule to improve organization. Provisions and forms incorporated by reference in this rule have been moved to the rule(s) in which they apply.

SUMMARY: This rule is proposed to be repealed to improve organization. The following forms are no longer in use or duplicative of other forms incorporated by reference in division 69W rules: OFR-S-5-91, Uniform Consent to Service of Process, effective 11-22-10; OFR-S-6-91, Corporate Resolution, effective 11-22-10; OFR-S-10-91, Report of Sales of Securities and Use of Proceeds Therefrom, effective 11-22-10; OFR-S-3-91, Notification Registration, effective 11-22-10; Form U-2A, Uniform Corporate Resolution, effective 10-1-96; OFR-S-14-97, Promotional Shares Escrow Agreement, effective 11-22-10.

SUMMARY OF STATEMENT OF ESTIMATED REGULATORY COSTS AND LEGISLATIVE RATIFICATION:

The Agency has determined that this will not have an adverse impact on small business or likely increase directly or indirectly regulatory costs in excess of \$200,000 in the aggregate within one year after the implementation of the rule. A SERC has not been prepared by the Agency.

The Agency has determined that the proposed rule is not expected to require legislative ratification based on the statement of estimated regulatory costs or if no SERC is required, the information expressly relied upon and described herein: The Agency expressly relies on an analysis of potential economic impact conducted by persons with subject matter knowledge of this rule.

Any person who wishes to provide information regarding a statement of estimated regulatory costs, or provide a proposal for a lower cost regulatory alternative must do so in writing within 21 days of this notice.

RULEMAKING AUTHORITY: 517.03(1), 517.12, 517.1201, 517.081(2), 517.082(4) FS.

LAW IMPLEMENTED: 120.60(1), 517.051 , 517.075, 517.081, 517.082, 517.12, 517.1202, 517.161(5) FS.

IF REQUESTED WITHIN 21 DAYS OF THE DATE OF THIS NOTICE, A HEARING WILL BE SCHEDULED AND ANNOUNCED IN THE FAR.

THE PERSON TO BE CONTACTED REGARDING THE PROPOSED RULE IS: Ryann White, Division of Securities, Ryann.White@flofr.com, (850)410-9803

THE FULL TEXT OF THE PROPOSED RULE IS:

69W-301.002 Processing of Applications and Notice-Filings.

Rulemaking Authority 517.03(1), 517.12, 517.1201, 517.081(2), 517.082(4) FS. Law Implemented 120.60(1), 517.051 ,517.075, 517.081, 517.082, 517.12, 517.1202, 517.161(5) FS. History--Revised and Transferred from 3E-300.01, 9-20-82, Formerly 3E-301.02, Amended 10-15-86, 2-1-87, 12-8-87, 7-29-90, 7-31-91, 6-16-92, 1-10-93, 3-13-94, 10-1-96, 10-23-97, 6-22-98, 6-10-99, 5-7-00, 7-10-02, Formerly 3E-301.002, Amended 3-16-06, 6-10-07, 11-22-10, 4-26-12, 11-14-13, Repealed_____.

NAME OF PERSON ORIGINATING PROPOSED RULE:
Alisa G. Goldberg, Acting Director, Division of Securities
NAME OF AGENCY HEAD WHO APPROVED THE PROPOSED RULE: Financial Services Commission
DATE PROPOSED RULE APPROVED BY AGENCY HEAD: July 25, 2019
DATE NOTICE OF PROPOSED RULE DEVELOPMENT PUBLISHED IN FAR: June 20, 2019

DEPARTMENT OF FINANCIAL SERVICES

Securities

RULE NOS.:	RULE TITLES:
69W-600.001	Application for Registration as a Dealer (FINRA)
69W-600.0011	Effect of Law Enforcement Records on Applications for Registration as Dealer, Issuer/Dealer, or Investment Adviser
69W-600.0012	Application for Registration as a Dealer (Non-FINRA)
69W-600.0013	Application for Registration as an Issuer/Dealer
69W-600.0016	Application for Registration as an Investment Adviser (State Registered)
69W-600.0017	Notice-Filing for Federal Covered Advisers
69W-600.002	Application for Registration as Associated Person (FINRA Dealer)
69W-600.0021	Effect of Law Enforcement Records on Applications for Registration as Associated Persons
69W-600.0022	Application for Registration as an Associated Person (Non-FINRA Dealer)
69W-600.0023	Application for Registration as an Associated Person (Issuer/Dealer)
69W-600.0024	Application for Registration as an Associated Person (Investment Adviser and Federal Covered Advisor)
69W-600.0031	Notice-Filing of Branch Office (FINRA Dealer)
69W-600.0032	Notice-Filing of Branch Office (Non-FINRA Dealer)
69W-600.0033	Notice Filing of Branch Office (Issuer/Dealer)
69W-600.013	Prohibited Business Practices for Dealers and Their Associated Persons
69W-600.0131	Prohibited Business Practices for Investment Advisers and Their Associated Persons
69W-600.0132	Custody Requirements for Investment Advisers
69W-600.014	Books and Records Requirements
69W-600.0151	Net Capital and Financial Reporting Requirements for Dealers and Issuer/Dealers
69W-600.017	Customer Protection Rule - Reserve Requirements and Custody of Customer Funds and Securities
69W-600.020	Continuing Education Requirements

PURPOSE AND EFFECT: The purpose and effect is to amend the existing rules to incorporate by reference the current versions of forms and other materials incorporated by reference, to incorporate, in relevant part, the contents of and remove cross-reference to Rule 69W-301.002, Florida Administrative Code (F.A.C.), to include the Securities Industry Essentials (SIE) exam (a new exam required for registration with the

Financial Industry Regulatory Authority (FINRA)) where applicable, to incorporate section 248.30 of Regulation S-P (17 C.F.R. §248.30) into the book and record requirements for dealers, as well as, to make the violation of the same a prohibited business practice, to repeal Rule 69W-600.020, F.A.C., to update cross-references, and to enhance clarity throughout the chapter.

SUMMARY: The proposed amended rules incorporate by reference the current versions of forms and other materials, incorporate, in relevant part, the contents of and remove cross-reference to Rule 69W-301.002, F.A.C., include the SIE exam as a required exam where applicable, incorporate section 248.30 of Regulation S-P (17 C.F.R. §248.30) into the book and record requirements for dealers, as well as, make the violation of the same a prohibited business practice for dealers, repeal Rule 69W-600.020, F.A.C., and update cross-references and enhance clarity throughout the chapter.

SUMMARY OF STATEMENT OF ESTIMATED REGULATORY COSTS AND LEGISLATIVE RATIFICATION:

The Agency has determined that this will not have an adverse impact on small business or likely increase directly or indirectly regulatory costs in excess of \$200,000 in the aggregate within one year after the implementation of the rule. A SERC has not been prepared by the Agency.

The Agency has determined that the proposed rule is not expected to require legislative ratification based on the statement of estimated regulatory costs or if no SERC is required, the information expressly relied upon and described herein: The Agency expressly relies on an analysis of potential economic impact conducted by persons with subject matter knowledge of these rules.

Any person who wishes to provide information regarding a statement of estimated regulatory costs, or provide a proposal for a lower cost regulatory alternative must do so in writing within 21 days of this notice.

RULEMAKING AUTHORITY: 517.03(1), 517.12, 517.1201, 517.1202, 517.121, 517.1215, 517.1217, 517.1611(2), FS.

LAW IMPLEMENTED: 517.081, 517.12, 517.1201, 517.1202, 517.121, 517.1215, 517.1217, 517.161, 517.201 FS.

IF REQUESTED WITHIN 21 DAYS OF THE DATE OF THIS NOTICE, A HEARING WILL BE SCHEDULED AND ANNOUNCED IN THE FAR.

THE PERSON TO BE CONTACTED REGARDING THE PROPOSED RULE IS: Ryann White, Division of Securities (850)410-9803, Ryann.White@flofr.com

THE FULL TEXT OF THE PROPOSED RULE IS:

69W-600.001 Application for Registration as a Dealer (FINRA).

(1) New Applications.

(a) No change.

(b) An application shall include the following:

1. through 2. No change.

3. A Uniform Application for Securities Industry Registration or Transfer (Form ~~U4~~ ~~U-4~~) (05/2009), to register at least one principal as set forth in this rule. A sample form is hereby incorporated by reference and available at <http://www.flrules.org/Gateway/reference.asp?No=Ref-06089>. In conjunction with filing its Form BD with the Office, the dealer shall provide the Office written notification of the principal's name and CRD number or social security number,

4. through 5. No change.

6. Any direct or indirect owner or control person required to be reported on Form BD, pursuant to section 517.12(7), F.S., who is not currently registered with the firm they are seeking to join or act as a direct or indirect owner or control person shall comply with the fingerprinting requirements in accordance with subsection ~~(8)~~~~(7)~~ of this rule; and,

7. No change.

(2) No change.

(3) Burden of Proof. It is the applicant's responsibility to prove that the statutory and regulatory requirements warranting granting of the application for registration as a dealer are met.

~~(4)~~~~(3)~~ Amendment of Application. If the information contained in any application for registration as a dealer or in any amendment thereto, becomes inaccurate for any reason, the dealer shall file an amendment on the Form BD correcting such information within 30 days. An applicant may amend the application as to those factors generally within the control or selection of the applicant once, as a matter of course, at any time within thirty (30) days from its receipt for filing. Otherwise, the application may be amended only with prior permission from the Office. For applicants and registrants that are members of the FINRA, each such amendment, including those required by subsections ~~(11)~~~~(10)~~ and ~~(12)~~~~(11)~~ of this rule, shall be filed with the Office through the CRD system. If an amendment requires additional review by the Office, and the Office's additional review cannot be completed before the 90-day time period of section 120.60(1), F.S., the application shall be subject to denial, and a new application, accompanied by the appropriate filing fee, may be required.

~~(5)~~~~(4)~~ Obligations Related to Acts of Associated Persons. A dealer shall be responsible for the acts, practices, and conduct of their registered associated persons in connection with the purchase and sale of securities or in connection with the rendering of investment advice until such time as they have been properly terminated as provided in this rule; and such dealer may be subject to assessment under section 517.12(11),

F.S., for such associated persons as have been terminated but for whom the appropriate termination notices have not been filed at date of license renewal.

~~(6)~~~~(5)~~ Requirement to Maintain Principal.

(a) through (b) No change.

(c) Any applicant or registrant dealer may elect to register more than one person as principal; there is no limitation as to the number of associated persons that may be registered as principal as long as such persons meet the qualification standards as prescribed in subsection ~~(7)~~~~(6)~~ of this rule, and the appropriate fees as specified in section 517.12(10), F.S., have been paid.

~~(7)~~~~(6)~~ Examinations/Qualifications Requirements.

(a) Every applicant for registration shall execute and submit a statement attesting to said applicant's knowledge and review of the Florida Securities and Investor Protection Act, as contained in the Form ~~U4~~ ~~U-4~~.

(b) Every applicant for initial registration as a principal or agent of a dealer shall evidence securities general knowledge by:

1. Submitting to the Office proof of passing, within two years of the date of application for registration, an examination relating to the position to be filled administered by a ~~national securities association or a national securities exchange~~ registered with the SEC; or

2. Submitting to the Office evidence of effective registration, within the preceding two years, with a national securities association or national stock exchange registered with the SEC, relating to the position to be filled as principal or agent; or -

3. Having remained continuously registered in the capacity to be filled with the State of Florida without interruption of more than two years; or

4. Submitting to the Office proof of passing, within two years of the date of application for registration, an examination relating to the position to be filled administered by a national securities association and proof of passing, within four years of the date of application for registration, the Securities Industry Essentials (SIE) Examination. The following individuals will be considered to have passed the SIE Examination:

A. Individuals whose registration as a representative was terminated between October 1, 2014, and September 30, 2018, provided they re-register as a representative within four years from the date of their last registration;

B. Individuals who registered as representatives prior to October 1, 2018, and who continue to maintain those registrations on or after October 1, 2018.

~~(8)~~~~(7)~~ Fingerprint Requirements.

(a) through (c) No change.

~~(9)~~~~(8)~~ Renewal Requirement.

(a) No change.

(b) In addition to verifying registration or notice-filings as provided in paragraph ~~(9)(8)~~(a), to renew its registration and the registrations of its associated persons and branch office notice-filings, each dealer shall pay all renewal fees as required by sections 517.12(11) and 517.1202(3), F.S.

(c) No change.

(d) For FINRA members, failure to submit the requisite amount of fees as provided for in paragraph ~~(9)(8)~~(b), by December 31 of the year of expiration of the registration shall result in the firm registration, agent registration or branch office notice-filing not being renewed. If December 31 falls on a Saturday, Sunday or legal holiday pursuant to section 110.117, F.S., the renewals received on the next business day shall be considered timely received. However, an expired registration or notice-filing may be reinstated in accordance with the provisions of section 517.12(11) or 517.1202(3), F.S., provided that all requisite information and fees are date stamped by the cashier's office of the Department of Financial Services on or before January 31 of the year following the year of expiration. Failure to submit the requisite amount of fees necessary to reinstate registration or notice-filing by January 31 of the year following the year of expiration shall result in such registration or notice-filing not being reinstated. If January 31 falls on a Saturday, Sunday, or legal holiday pursuant to section 110.117, F.S., the reinstatement received on the next business day shall be considered timely received. In the event that the renewal or reinstatement is withdrawn or not granted, any fees filed to renew or reinstate registration or notice-filing shall become the revenue of the state pursuant to the provisions of section 517.12(10) or 517.1202(8), F.S., and shall not be returnable.

~~(10)(9)~~ Termination of Registration as Dealer, Principal or Agent, or Notification of Branch Office.

(a) Where a registrant withdraws, cancels, or otherwise terminates registration, or is terminated for any reason, notice of such fact shall be electronically filed with the Office through the CRD on the forms incorporated in paragraph ~~(10)(9)~~(c) of this rule, within thirty (30) calendar days of the date of termination.

(b) No change.

(c) The forms to be utilized for providing notice to the Office under paragraph ~~(10)(9)~~(a) are:

1. through 2. No change.

3. Uniform Termination Notice for Securities Industry Registration (Form ~~U5~~ ~~U-5~~) (05-09). A sample form is hereby incorporated by reference and is available at <http://www.flrules.org/Gateway/reference.asp?No=Ref-06090>.

~~(11)(10)~~ Notice of Civil, Criminal or Administrative Action. A dealer shall:

(a) No change.

(b) Notify the Office within thirty (30) calendar days of the date of decision, order, or sanction rendered, or any appeal filed

with respect to such decision with regard to any complaint outlined in paragraph ~~(11)(10)~~(a).

(c) Such notifications shall be filed with the Office through the CRD of the FINRA in accordance with subsection ~~(4)(3)~~ of this rule. When specifically requested by the Office pursuant to section 517.021, F.S., one (1) copy of such complaint, answer or reply to any complaint, decision, order, or sanction shall be filed directly with the Office. Responses to requests by the Office for additional information shall be filed directly with the Office.

~~(12)(11)~~ Changes in Name and Successor Registration Requirements.

(a) Where only a change in the name of an applicant or registrant as dealer occurs, notices of such fact shall be filed as an amendment on the forms prescribed by the Office within thirty (30) calendar days of the date of such change. For registrants who are members of the FINRA, such amendment shall be filed with the Office through the CRD pursuant to subsection ~~(4)(3)~~ of this rule. Any amendments to organizational documents or accompanying letters of explanation shall be submitted directly to the Office within 30 days when specifically requested by the Office.

(b) Where there is a change in legal entity of a proprietary, partnership, or corporate registrant, the successor entity shall file with the Office an amendment to the Form BD within thirty (30) calendar days of the date of such change. For registrants who are members of FINRA, such amendment shall be filed with the Office through the CRD pursuant to subsection ~~(4)(3)~~ of this rule. Any amendments to organizational documents, accompanying letters of explanation, or current financial statements of the successor shall be submitted directly to the Office within 30 days when specifically requested by the Office.

(c) Merger Situations: Where there is a merger of dealer registrants involving the assumption by the successor of substantially all assets and liabilities of the merged entities and the continuation of the activities of the merged entities' successor entity, the merging entities shall file notification with the Office denoting such changes as are applicable within thirty (30) calendar days prior to the date of such change. The successor entity shall file an amendment to Form BD denoting such changes as are applicable within thirty (30) calendar days of date of such change. For registrants who are members of FINRA, each amendment shall be filed with the Office through the CRD pursuant to subsection ~~(4)(3)~~ of this rule. A copy of the plan of merger/merger agreement, amended organizational documents, accompanying letters of explanation, or current financial statements of the successor (merged) entity shall be submitted directly to the Office within 30 days when specifically requested by the Office pursuant to section 517.201, F.S.

(d) Change of Control:

1. No change.

2. Where a person or a group of persons directly or indirectly or acting by or through one or more persons, proposes to acquire a controlling interest in a dealer or investment adviser registrant, and where the acquirer has within the preceding 10 years committed any reportable act as defined in rule 69W-200.001, F.A.C., and is not currently registered with the Office, the resulting entity shall, prior to such acquisition, file with the Office a new application for registration on the forms prescribed by the Office, together with all required exhibits and fees. Additionally, there shall be filed with the Office, at the time the new application is filed, a notice of withdrawal, termination or cancellation of registration of the acquired entity on the forms prescribed by the Office, effective upon disposition of the new application by the Office. The Office may waive the requirements of this subsection where the Office determines it is not necessary, based upon the nature and substance of the proposed acquirer’s disciplinary history and experience, to require the filing of a new application for registration. Any person who receives a waiver of this subsection shall effect such change of control in compliance with the provisions of subparagraph ~~(12)(44)~~(d)1.

3. No change.

(e) For the purposes of paragraphs ~~(12)(44)~~(b) and ~~(12)(44)~~(c) of this rule, in the event that a person(s) succeeds to and continues the business of a Florida registered dealer, the registration of the predecessor shall be deemed to remain effective as the registration of the successor for a period of thirty (30) calendar days after such succession, provided that an amendment to Form BD together with the accompanying documents when requested by the Office pursuant to section 517.201, F.S., is filed by the successor within thirty (30) calendar days after such succession.

(f) For the purposes of paragraphs ~~(12)(44)~~(a), ~~(12)(44)~~(b), ~~(12)(44)~~(c), and ~~(12)(44)~~(d) of this rule, the effective registration of all associated persons and branch office notice-filings affiliated with the affected dealer registrant shall be transferred to the successor entity by the Office without necessitating the filing of new applications on behalf of such associated persons and notice-filings of such branch offices, unless notice of termination is filed for such persons and branch offices by the successor pursuant to subsection ~~(10)(9)~~ of this rule.

Rulemaking Authority 517.03(1), 517.12 FS. Law Implemented 517.12 FS. History—New 12-5-79, Amended 9-20-82, Formerly 3E-600.01, Amended 7-29-90, 8-1-91, 6-16-92, 1-11-93, 11-14-93, 4-30-96, 6-22-98, 5-10-00, 9-19-00, 7-31-02, Formerly 3E-600.001, Amended 3-16-06, 5-15-07, 11-22-10, 10-29-12, 11-11-13, 12-29-15, _____.

69W-600.0011 Effect of Law Enforcement Records on Applications for Registration as Dealer, Issuer/Dealer, or Investment Adviser.

(1) General Procedure Regarding Law Enforcement Records. For purposes of this rule, an “applicant” is any Dealer, Issuer/Dealer or Investment Adviser seeking registration in Florida. Any member, principal, or director of the applicant or any person having similar status or performing similar functions; any person directly or indirectly controlling the applicant; direct owners, principals, or indirect owners that are required to be reported on behalf of the applicant on Form BD or Form ADV pursuant to section 517.12(15), F.S. shall be referred to collectively as “relevant persons”. Form BD, Uniform Application for Broker-Dealer Registration (1-08) and Form ADV, Uniform Application for Investment Adviser Registration (07-17) are hereby incorporated by reference and available at

<http://www.flrules.org/Gateway/reference.asp?No=Ref-XXXXX> and

<http://www.flrules.org/Gateway/reference.asp?No=Ref-XXXXX>. As part of the application review process for each Dealer, Issuer/Dealer, or Investment Adviser, submitted on Form BD or Form ADV, the Office is required to consider all relevant persons law enforcement records when deciding whether to approve an application for registration. When conducting this review, the Office reviews the criminal history information derived from the fingerprint check, any responses made by the applicant or relevant person, and information from other resources such as the Financial Industry Regulatory Authority. In the event of a question regarding the relevant person’s criminal history, the Office may request additional information from the applicant to determine the status of a criminal event, the specific facts and circumstances surrounding a criminal event, or to address other issues determined relevant to the review of the law enforcement record. The Office will notify the applicant of any specific documents that it requires in order to complete its review of the relevant person’s law enforcement record. Documentation that is typically requested includes:

(a) through (e) No change.

(2) through (16) No change.

~~(17) Form BD and Form ADV are incorporated by reference in subsection 69W 301.002(7), F.A.C.~~

~~(17)(18)~~ For purposes of this rule, “certified” means that there must be a certification or attestation by the issuer of the record that the document is a true copy of a record contained in the issuer’s office and the issuer’s seal, if any.

Rulemaking Authority 517.1611(2) FS. Law Implemented 517.12, 517.161 FS. History—New 9-2-10, Amended _____.

69W-600.0012 Application for Registration as a Dealer (Non-FINRA).

(1) New Applications.

(a) No change.

(b) An application shall include the following:

1. through 2. No change.

3. A Uniform Application for Securities Industry Registration or Transfer (Form ~~U4~~ ~~U-4~~) (05/2009), to register at least one principal as set forth in this rule. The Form ~~U4~~ ~~U-4~~ is hereby incorporated by reference and available at <http://www.flrules.org/Gateway/reference.asp?No=Ref-06089>. In conjunction with filing its Form BD with the Office, the dealer shall provide the Office written notification of the principal's name and social security number. Social security numbers are collected by the Office pursuant to section 517.12(7)(a), F.S., and are used to verify the identity of individuals;

4. through 5. No change.

6. Any direct or indirect owner or control person required to be reported on Form BD, pursuant to section 517.12(7), F.S., shall comply with the fingerprinting requirements in accordance with subsection ~~(8)~~(7) of this rule; and,

7. No change.

(2) No change.

(3) Burden of Proof. It is the applicant's responsibility to prove that the statutory and regulatory requirements warranting granting an application for registration as a dealer are met.

~~(4)~~(3) Amendment of Application. If the information contained in any application for registration as a dealer or in any amendment thereto, becomes inaccurate for any reason, the dealer shall file an amendment on the Form BD, correcting such information within 30 days. An applicant may amend the application as to those factors generally within the control or selection of the applicant once, as a matter of course, at any time within 30 days from its receipt for filing. Otherwise, the application may be amended only with prior permission from the Office. Applicants and registrants shall file such amendments, including those required by subsection ~~(12)~~(11) of this rule, directly with the Office electronically through the REAL System. If an amendment requires additional review by the Office, and the Office's additional review cannot be completed before the 90-day time period of section 120.60(1), F.S., the application shall be subject to denial, and a new application, accompanied by the appropriate filing fee, may be required.

~~(5)~~(4) Obligations Related to Acts of Associated Persons.

A dealer shall be responsible for the acts, practices, and conduct of their registered associated persons in connection with the purchase and sale of securities or in connection with the rendering of investment advice until such time as they have been properly terminated as provided in this rule; and such

dealer may be subject to assessment under section 517.12(11), F.S., for such associated persons as have been terminated but for whom the appropriate termination notices have not been filed at date of license renewal.

~~(6)~~(5) Requirement to Maintain Principal.

(a) through (b) No change.

(c) Any applicant or registrant dealer may elect to register more than one person as principal; there is no limitation as to the number of associated persons that may be registered as principal as long as such persons meet the qualification standards as prescribed in subsection ~~(7)~~(6) of this rule, and the appropriate fees as specified in section 517.12(10), F.S., have been paid.

~~(7)~~(6) Examinations/Qualifications Requirements.

(a) No change.

(b) Every applicant for initial registration as a principal or agent of a dealer shall evidence securities general by:

1. Submitting to the Office proof of passing, within two years of the date of application for registration, an examination relating to the position to be filled administered by ~~a national securities association~~ or a national securities exchange registered with the SEC; or

2. Submitting to the Office evidence of effective registration, within the preceding two years, with a national securities association or national stock exchange registered with the SEC, relating to the position to be filled as principal or agent; or -

3. Having remained continuously registered in the capacity to be filled with the State of Florida without interruption of more than two years; or

4. Submitting to the Office proof of passing, within two years of the date of application for registration, an examination relating to the position to be filled administered by a national securities association and proof of passing, within four years of the date of application for registration, the Securities Industry Essentials (SIE) Examination. The following individuals will be considered to have passed the SIE Examination:

A. Individuals whose registration as a representative was terminated between October 1, 2014, and September 30, 2018, provided they re-register as a representative within four years from the date of their last registration;

B. Individuals who registered as representatives prior to October 1, 2018, and who continue to maintain those registrations on or after October 1, 2018.

~~(8)~~(7) Fingerprint Requirements.

(a) through (c) No change.

~~(9)~~(8) Renewal Requirement.

(a) No change.

(b) In addition to verifying registration or notice-filings as provided in paragraph ~~(9)~~(8)(a), to renew its registration and the registrations of its associated persons and branch office notice-

filings, each dealer shall pay all renewal fees as required by sections 517.12(11) and 517.1202(3), F.S.

(c) No change.

(d) For dealers that are not members of FINRA, failure to submit the requisite amount of fees as provided for in paragraph ~~(9)(8)~~(b), by December 31 of the year of expiration of the registration, shall result in the firm registration, agent registration, or notice-filing not being renewed. If December 31 falls on a Saturday, Sunday or legal holiday pursuant to section 110.117, F.S., the renewals received on the next business day shall be considered timely received. However, an expired registration or notice-filing may be reinstated in accordance with section 517.12(11) or 517.1202(3), F.S., provided that all requisite information and fees are filed electronically on the Office's website at <https://real.flofr.com> through the REAL System on or before January 31 of the year following the year of expiration. Failure to submit the requisite amount of fees necessary to reinstate registration by January 31 of the year following the year of expiration shall result in such registration or notice-filing not being reinstated. If January 31 falls on a Saturday, Sunday, or legal holiday pursuant to section 110.117, F.S., the reinstatement received on the next business day shall be considered timely received. If the renewal or reinstatement is withdrawn or not granted, any fees filed to renew or reinstate registration or notice-filing shall become the revenue of the state pursuant to the provisions of section 517.12(10) or 517.1202(8), F.S., and shall not be returnable.

~~(10)(9)~~ Termination of Registration as Dealer, Principal or Agent, or Notification of Branch Office.

(a) Where a registrant withdraws, cancels, or otherwise terminates registration, or is terminated for any reason, notice of such fact shall be electronically filed with the Office through the REAL System on the forms incorporated in paragraph ~~(10)(9)~~(c) of this rule, within thirty (30) calendar days of the date of termination. Such forms shall be filed electronically in accordance with this rule.

(b) No change.

(c) The forms to be utilized for providing notice to the Office under paragraph ~~(10)(9)~~(a), and which are hereby incorporated by reference are:

1. through 2. No change.

3. Uniform Termination Notice for Securities Industry Registration (Form ~~U5~~ ~~U-5~~) (05-09), which is hereby incorporated by reference and is available at <http://www.flrules.org/Gateway/reference.asp?No=Ref-06090>.

~~(11)(10)~~ Notice of Civil, Criminal or Administrative Action. A broker dealer shall:

(a) No Change.

(b) Notify the Office within thirty (30) calendar days of the date of decision, order, or sanction rendered, or any appeal filed

with respect to such decision with regard to any complaint outlined in paragraph ~~(11)(10)~~(a).

(c) Such notifications shall be filed with the Office through the REAL System in accordance with subsection ~~(4)(3)~~ of this rule. When specifically requested by the Office pursuant to section 517.021, F.S., one (1) copy of such complaint, answer or reply to any complaint, decision, order, or sanction shall be filed with the Office through the REAL System. Responses to requests by the Office for additional information shall be filed directly with the Office through the REAL System.

~~(12)(11)~~ Changes in Name and Successor Registration Requirements.

(a) through (c) No change.

(d) Change of Control:

1. Where a person or a group of persons directly or indirectly or acting by or through one or more persons, proposes to acquire a controlling interest in a dealer or investment adviser registrant, and where the acquirer is currently registered with the Office, or where the acquirer has not within the preceding 10 years committed any reportable act as defined in rule 69W-200.001, F.A.C., the resulting entity shall file with the Office an amendment to Form BD ~~F.A.C.~~, denoting such changes as are applicable thirty (30) calendar days prior to the date of such acquisition. Any amended organizational documents, accompanying letters of explanation, or financial statements of the resulting entity shall be submitted directly to the Office within 30 days when specifically requested by the Office.

2. Where a person or a group of persons directly or indirectly or acting by or through one or more persons, proposes to acquire a controlling interest in a dealer or investment adviser registrant, and where the acquirer has within the preceding 10 years committed any reportable act as defined in rule 69W-200.001, F.A.C., and is not currently registered with the Office, the resulting entity shall, prior to such acquisition, file with the Office a new application for registration on the forms prescribed by the Office, together with all required exhibits and fees. Additionally, there shall be filed with the Office, at the time the new application is filed, a notice of withdrawal, termination or cancellation of registration of the acquired entity on the forms prescribed by the Office, effective upon disposition of the new application by the Office. The Office may waive the requirements of this subsection where the Office determines it is not necessary, based upon the nature and substance of the proposed acquirer's disciplinary history and experience, to require the filing of a new application for registration. Any person who receives a waiver of this subsection shall effect such change of control in compliance with the provisions of subparagraph ~~(12)(11)~~(d)1.

3. No change.

(e) For the purposes of paragraphs ~~(12)(11)~~(b) and ~~(12)(11)~~(c) of this rule, in the event that a person(s) succeeds to

and continues the business of a Florida registered dealer, the registration of the predecessor shall be deemed to remain effective as the registration of the successor for a period of thirty (30) calendar days after such succession, provided that an amendment to Form BD together with the accompanying documents when requested by the Office pursuant to section 517.201, F.S., is filed by the successor within thirty (30) calendar days after such succession.

(f) For the purposes of paragraphs ~~(12)(44)(a)~~, ~~(12)(44)(b)~~, ~~(12)(44)(c)~~, and ~~(12)(44)(d)~~ of this rule, the effective registration of all associated persons and branch office notice-filings affiliated with the affected dealer registrant shall be transferred to the successor entity by the Office without necessitating the filing of new applications on behalf of such associated persons and notice-filings of such branch offices, unless notice of termination is filed for such persons and branch offices by the successor pursuant to subsection ~~(10)(9)~~ of this rule.

Rulemaking Authority 517.03(1), 517.12 FS. Law Implemented 517.12 FS. History—New 12-29-15, Amended _____.

69W-600.0013 Application for Registration as an Issuer/Dealer.

(1) New Applications.

(a) No change.

(b) An application shall include the following:

1. through 2. No change.

3. A Uniform Application for Securities Industry Registration or Transfer (Form ~~U4 U-4~~) (05/2009), to register at least one principal as set forth in this rule. The Form ~~U4 U-4~~ is hereby incorporated by reference and available at <http://www.flrules.org/Gateway/reference.asp?No=Ref-06089>. In conjunction with filing its Form BD with the Office, the issuer/dealer shall provide the Office written notification of the principal's name and social security number. Social security numbers are collected by the Office pursuant to section 517.12(7)(a), F.S., and are used to verify the identity of individuals;

4. No change.

5. Any direct or indirect owner or control person required to be reported on Form BD, pursuant to section 517.12(7), F.S., who is not currently registered in Florida with the firm they are seeking to join or act as a direct or indirect owner or control person shall comply with the fingerprinting requirements in accordance with subsection ~~(8)(7)~~ of this rule;

6. Applicants for registration as an issuer/dealer must file Issuer/Dealer Compliance Form (OFR-DA-5-91) (effective 9/15), to meet requirements under subsections ~~(6)(5)~~, ~~(7)(6)~~, and ~~(12)(44)~~ of this rule. The form is hereby incorporated by reference and is available at

<http://www.flrules.org/Gateway/reference.asp?No=Ref-06081> or ~~<http://www.flrules.com/PDFs/OFR-DA-5-91.pdf>~~;

7. No change.

(2) No change.

(3) Burden of Proof. It is the applicant's responsibility to prove that the statutory and regulatory requirements granting an application for registration as an issuer/dealer are met.

~~(4)(3)~~ Amendment of Application. If the information contained in any application for registration as an issuer/dealer or in any amendment thereto, becomes inaccurate for any reason, the issuer/dealer shall file an amendment on the Form BD correcting such information within 30 days. An applicant may amend the application as to those factors generally within the control or selection of the applicant once, as a matter of course, at any time within thirty (30) days from its receipt for filing. Otherwise, the application may be amended only with prior permission from the Office. Applicants and registrants shall file such amendments directly with the Office electronically through the REAL System. If an amendment requires additional review by the Office, and the Office's additional review cannot be completed before the 90-day time period of section 120.60(1), F.S., the application shall be subject to denial, and a new application, accompanied by the appropriate filing fee, may be required.

~~(5)(4)~~ Obligations Related to Acts of Associated Persons. An issuer/dealer shall be responsible for the acts, practices, and conduct of their registered associated persons in connection with the purchase and sale of securities or in connection with the rendering of investment advice until such time as they have been properly terminated as provided in this rule; and such issuer/dealer may be subject to assessment under section 517.12(11), F.S., for such associated persons as have been terminated but for whom the appropriate termination notices have not been filed at date of license renewal.

~~(6)(5)~~ Requirement to Maintain Principal and Exam Exemption for Associated Persons.

(a) An issuer required to be registered or who elects to be registered pursuant to section 517.12(1), 517.051(9) or 517.061(11), F.S., selling its own securities exclusively through its principals or agents (as those terms are defined in section 517.021, F.S., and rule 69W-200.001, F.A.C., respectively) may obtain registration as an issuer/dealer by filing as required under subsection (1) or ~~(12)(44)~~ of this rule, or rule 69W-500.011, F.A.C., as appropriate, provided that:

1. The associated persons of said issuer/dealer comply with the registration requirements of section 517.12, F.S., and subsections ~~(7)(6)~~ and ~~(8)(7)~~ of this rule, provided that such person primarily performs, or is intended to perform at the end of the distribution, substantial duties for, or on behalf of, the issuer other than in connection with transactions in securities; and,

2. Said issuer/dealer may register up to five (5) associated persons, which persons shall be exempted from the examination requirements of subsection ~~(7)(6)~~ of this rule, provided such issuer/dealer shall register no more than five (5) associated persons, and at the time of application for registration advises the Office of its intention to register no more than five (5) associated persons. Failure to so advise the Office shall require all associated person applicants to fulfill the examination requirements of subsection ~~(7)(6)~~ of this rule. Registration of more than five (5) such associated persons, at any one time, shall void this exemption, and all such associated persons shall be required to meet the examination requirements of subsection ~~(7)(6)~~ of this rule.

(b) Every applicant for registration and registrant under section 517.12, F.S., as an issuer/dealer (as those terms are defined under section 517.021, F.S.), unless effectively registered with the Office as an issuer/dealer prior to December 4, 1977, shall have and maintain at least one associated person qualified and registered as principal pursuant to section 517.12, F.S., and the rules thereunder.

1. No change.

2. Any applicant or registrant issuer/dealer may elect to register more than one person as principal; there is no limitation as to the number of associated persons that may be registered as principal as long as such persons meet the qualification standards as prescribed in subsection ~~(7)(6)~~ of this rule, and the appropriate fees as specified in section 517.12(10), F.S., have been paid.

~~(7)(6)~~ Examinations/Qualifications Requirements.

(a) Every applicant for registration shall execute and submit a statement attesting to said applicant's knowledge and review of the Florida Securities and Investor Protection Act, as contained in the Form U4 U-4.

(b) Every applicant for initial registration as a principal or agent of an issuer/dealer shall evidence securities general knowledge by:

1. Submitting to the Office proof of passing, within two years of the date of application for registration, an examination relating to the position to be filled administered by ~~a national securities association or a national securities exchange~~ registered with the Securities and Exchange Commission (SEC); or

2. No change.

3. No change.

4. Having complied with the provisions of paragraph ~~(6)(5)(a)~~ of this rule; or

5. Submitting to the Office proof of passing, within two years of the date of application for registration, an examination relating to the position to be filled administered by a national securities association and proof of passing, within four years of

the date of application for registration, the Securities Industry Essentials (SIE) Examination. The following individuals will be considered to have passed the SIE Examination:

A. Individuals whose registration as a representative was terminated between October 1, 2014, and September 30, 2018, provided they re-register as a representative within four years from the date of their last registration;

B. Individuals who registered as representatives prior to October 1, 2018, and who continue to maintain those registrations on or after October 1, 2018.

(c) No change.

~~(8)(7)~~ Fingerprint Requirements.

(a) through (b) No change.

~~(9)(8)~~ Renewal Requirement.

(a) No change.

(b) In addition to verifying registration or notice-filings as provided in paragraph ~~(9)(8)(a)~~, to renew its registration and the registrations of its associated persons and branch office notice-filings, each issuer/dealer shall pay all renewal fees as required by sections 517.12(11) and 517.1202(3), F.S.

(c) No change.

(d) For issuer/dealers, failure to submit the requisite amount of fees as provided for in paragraph ~~(9)(8)(b)~~, by December 31 of the year of expiration of the registration shall result in the firm registration, agent registration, or branch office notice-filing not being renewed. If December 31 falls on a Saturday, Sunday or legal holiday pursuant to section 110.117, F.S., the renewals received on the next business day shall be considered timely received. However, an expired registration or notice-filing may be reinstated in accordance with section 517.12(11) or 517.1202(3), F.S., provided that all requisite information and fees are filed electronically on the Office's website at <https://real.flofr.com> through the REAL System on or before January 31 of the year following the year of expiration. Failure to submit the requisite amount of fees necessary to reinstate registration by January 31 of the year following the year of expiration shall result in such registration or notice-filing not being reinstated. If January 31 falls on a Saturday, Sunday, or legal holiday pursuant to section 110.117, F.S., the reinstatement received on the next business day shall be considered timely received. If the renewal or reinstatement is withdrawn or not granted, any fees filed to renew or reinstate registration or notice-filing shall become the revenue of the state pursuant to the provisions of section 517.12(10) or 517.1202(8), F.S., and shall not be returnable.

~~(10)(9)~~ Termination of Registration as Issuer/Dealer, Principal or Agent, or Notification of Branch Office.

(a) Where a registrant withdraws, cancels, or otherwise terminates registration, or is terminated for any reason, notice of such fact shall be electronically filed with the Office through the REAL System using the forms incorporated in paragraph

~~(10)(9)~~(c) of this rule, within thirty (30) calendar days of the date of termination.

(b) No change.

(c) The forms to be utilized for providing notice to the Office under paragraphs ~~(10)(9)~~(a) and ~~(10)(9)~~(b) are:

1. through 2. No change.

3. Uniform Termination Notice for Securities Industry Registration (Form ~~U5 U-5~~) (05-09), which is hereby incorporated by reference and available at <http://www.flrules.org/Gateway/reference.asp?No=Ref-06090>.

~~(11)(10)~~ Notice of Civil, Criminal or Administrative Action. An issuer/dealer shall:

(a) No change.

(b) Notify the Office within thirty (30) calendar days of the date of decision, order, or sanction rendered, or any appeal filed with respect to such decision with regard to any complaint outlined in paragraph ~~(11)(10)~~(a).

(c) Such notifications shall be filed with the Office through the REAL System in accordance with subsection ~~(4)(3)~~ of this rule. When specifically requested by the Office pursuant to section 517.021, F.S., one (1) copy of such complaint, answer or reply to any complaint, decision, order, or sanction shall be filed with the Office through the REAL System. Responses to requests by the Office for additional information shall be filed directly with the Office through the REAL System.

~~(12)(11)~~ Registration of Issuer as an Issuer/Dealer under Section 517.051(9), F.S. An issuer of securities who elects to offer or sell its own securities pursuant to section 517.051(9), F.S., is required to be registered as an issuer/dealer pursuant to section 517.12(2), F.S. The issuer shall comply with the rules of the Commission for registration as an issuer/dealer as set forth under subsection (1) of this rule, in addition to the following requirements:

(a) through (c) No change.

Rulemaking Authority 517.03(1), 517.12 FS. Law Implemented 517.12 FS. History—New 12-29-15, Amended.

69W-600.0016 Application for Registration as an Investment Adviser (State Registered).

(1) New Applications.

(a) No change.

(b) An application shall include the following:

1. Form ADV, Uniform Application for Investment Adviser Registration (07-17 09-11). A sample form is hereby incorporated by reference and is available at <http://www.flrules.org/Gateway/reference.asp?No=Ref-XXXXX>

<http://www.flrules.org/Gateway/reference.asp?No=Ref-06076>;

2. No change.

3. A Uniform Application for Securities Industry Registration or Transfer (Form ~~U4 U-4~~) to register at least one

agent to designate as a principal as set forth in this rule. Form ~~U4 U-4~~ (05-09) is hereby incorporated by reference and a sample form is available at <http://www.flrules.org/Gateway/reference.asp?No=Ref-06089>. In conjunction with filing its Form ADV with the Office, the investment adviser shall provide the Office written notification of the principal's name and CRD number or social security number;

4. No change.

5. Any direct or indirect owner or control person required to be reported on Form ADV, pursuant to section 517.12(7), F.S., who is not currently registered in Florida with the firm they are seeking to join or act as a direct or indirect owner or control person shall comply with the fingerprinting requirements in accordance with subsection ~~(8)(7)~~ of this rule; and,

6. No change.

(2) No change.

(3) Burden of Proof. It is the applicant's responsibility to prove that the statutory and regulatory requirements warranting granting of the application for registration as an investment adviser are met.

~~(4)(3)~~ Amendment of Application. If the information contained in any application for registration as an investment adviser or in any amendment thereto, becomes inaccurate for any reason, the investment adviser shall file an amendment on the Form ADV correcting such information within 30 days. An applicant may amend the application as to those factors generally within the control or selection of the applicant once, as a matter of course, at any time within thirty (30) days from its receipt for filing. Otherwise, the application may be amended only with prior permission from the Office. For investment adviser applicants and registrants who file via the IARD, each such amendment, including those required by subsection ~~(12)(11)~~ of this rule, shall be filed with the Office through the IARD in accordance with this rule. If an amendment requires additional review by the Office, and the Office's additional review cannot be completed before the 90-day time period of section 120.60(1), F.S., the application shall be subject to denial, and a new application, accompanied by the appropriate filing fee, may be required.

~~(5)(4)~~ Obligations Related to Acts of Associated Persons. An investment adviser shall be responsible for the acts, practices, and conduct of their registered associated persons in connection with the purchase and sale of securities or in connection with the rendering of investment advice until such time as they have been properly terminated as provided in this rule; and such adviser may be subject to assessment under section 517.12(11), F.S., for such associated persons as have been terminated but for whom the appropriate termination notices have not been filed at date of license renewal.

~~(6)(5)~~ Requirement to Maintain Principal.

(a) through (b) No change.

(c) Any applicant or registrant investment adviser may elect to designate more than one person as principal; there is no limitation as to the number of associated persons that may be designated as principal as long as such persons meet the qualification standards as prescribed in subsection ~~(7)(6)~~ of this rule, and the appropriate fees as specified in section 517.12(10), F.S., have been paid.

~~(7)(6)~~ Examinations/Qualifications Requirements.

(a) An individual applying for registration as an investment adviser shall execute and submit a statement attesting to said applicant's knowledge and review of the Florida Securities and Investor Protection Act, as contained in the Form ~~U4~~ ~~U-4~~.

(b) An individual applying to be registered as an investment adviser shall provide the Office with proof of passing, within two years of the date of application for registration, one of the following examinations:

1. The Uniform Investment Adviser Law Examination (Series 65); or

2. The General Securities Representative Examination (Series 7) and the Uniform Combined State Law Examination (Series 66); and

3. Proof of passing, within four years of the date of application for registration, the Securities Industry Essentials (SIE) Examination. The following individuals will be considered to have passed the SIE Examination:

A. Individuals whose registration as a representative was terminated between October 1, 2014, and September 30, 2018, provided they re-register as a representative within four years from the date of their last registration;

B. Individuals who registered as representatives prior to October 1, 2018, and who continue to maintain those registrations on or after October 1, 2018.

(c) Grandfathering Provisions:

1. Any individual who is or has been registered as an investment adviser or investment adviser representative in any jurisdiction in the United States requiring examinations designated in paragraph ~~(7)(6)~~(b), within two years of the date of application for registration shall not be required to satisfy the examination requirements for continued registration except that the Office may require additional examinations for any individual found to have violated any state or federal securities law.

2. An individual who has not been registered in any jurisdiction in the United States requiring examinations designated in paragraph ~~(7)(6)~~(b), as an investment adviser or investment adviser representative within two years of the date of application for registration shall be required to comply with the examination requirements of this rule.

(d) No change.

~~(8)(7)~~ Fingerprint Requirements.

(a) through (c) No change.

~~(9)(8)~~ Renewal Requirement.

(a) No change.

(b) In addition to verifying registration or notice-filings as provided in paragraph ~~(9)(8)~~(a), to renew its registration and the registrations of its associated persons and branch office notice-filings, each investment adviser shall pay all renewal fees as required by sections 517.12(11) and 517.1202(3), F.S.

(c) No change.

(d) Failure to submit the requisite amount of fees as provided for in paragraph ~~(9)(8)~~(b), by December 31 of the year of expiration of the registration shall result in the firm registration, agent registration, or branch office notice-filing not being renewed. If December 31 falls on a Saturday, Sunday or legal holiday pursuant to section 110.117, F.S., the renewals received on the next business day shall be considered timely received. However, an expired registration or notice-filing may be reinstated in accordance with the provisions of section 517.12(11) or 517.1202(3), F.S., provided that all requisite information and fees are date stamped by the cashier's office of the Department of Financial Services on or before January 31 of the year following the year of expiration. Failure to submit the requisite amount of fees necessary to reinstate registration or notice-filing by January 31 of the year following the year of expiration shall result in such registration or notice-filing not being reinstated. If January 31 falls on a Saturday, Sunday, or legal holiday pursuant to section 110.117, F.S., the reinstatement received on the next business day shall be considered timely received. In the event that the renewal or reinstatement is withdrawn or not granted, any fees filed to renew or reinstate registration or notice-filing shall become the revenue of the state pursuant to the provisions of section 517.12(10) or 517.1202(8), F.S., and shall not be returnable.

~~(10)(9)~~ Termination of Registration as an Investment Adviser, Agent, or Notification of Branch Office.

(a) Where a registrant withdraws, cancels, or otherwise terminates registration, or is terminated for any reason, notice of such fact shall be electronically filed with the Office using the forms incorporated in paragraph ~~(10)(9)~~(d) of this rule, within thirty (30) calendar days of the date of withdrawal, cancellation, or termination.

(b) through (c) No change.

(d) The forms to be utilized for providing notice to the Office under paragraphs ~~(10)(9)~~(a) and ~~(10)(9)~~(b) are:

1. Notice of Withdrawal from Registration as Investment Adviser (Form ADV-W) ~~(7-17~~ ~~11-14)~~. A sample form is hereby incorporated by reference and is available at <http://www.flrules.org/Gateway/reference.asp?No=Ref-XXXXX>

<http://www.flrules.org/Gateway/reference.asp?No=Ref-06077>.

2. Uniform Termination Notice for Securities Industry Registration (Form ~~U5 U-5~~) (05/09). A sample form is hereby incorporated by reference and is available at <http://www.flrules.org/Gateway/reference.asp?No=Ref-06090>.

3. No change.

~~(11)(10)~~ Amendments to Form ADV. An investment adviser shall amend its Form ADV through the IARD at least annually, within 90 days of the end of its fiscal year; and more frequently, if required by the instructions to Form ADV. The instructions to Form ADV (~~07-17 09-11~~) are hereby incorporated by reference and are available at <http://www.flrules.org/Gateway/reference.asp?No=Ref-XXXXX>

<http://www.flrules.org/Gateway/reference.asp?No=Ref-06076>.

~~(12)(11)~~ Notice of Civil, Criminal or Administrative Action. An investment adviser shall:

(a) No change.

(b) Notify the Office within thirty (30) calendar days of the date of decision, order, or sanction rendered, or any appeal filed with respect to such decision with regard to any complaint outlined in paragraph ~~(12)(11)(a)~~.

(c) Such notifications shall be filed with the Office through the IARD in accordance with subsection ~~(4)(3)~~ of this rule. When specifically requested by the Office pursuant to section 517.021, F.S., one (1) copy of such complaint, answer or reply to any complaint, decision, order, or sanction shall be filed directly with the Office. Responses to requests by the Office for additional information shall be filed directly with the Office.

~~(13)(12)~~ Changes in Name and Successor Registration Requirements.

(a) through (c) No change.

(d) Change of Control:

1. No change.

2. Where a person or a group of persons directly or indirectly or acting by or through one or more persons, proposes to acquire a controlling interest in a dealer or investment adviser registrant, and where the acquirer has within the preceding 10 years committed any reportable act as defined in rule 69W-200.001, F.A.C., and is not currently registered with the Office, the resulting entity shall, prior to such acquisition, file with the Office a new application for registration on the forms prescribed by the Office, together with all required exhibits and fees. Additionally, there shall be filed with the Office, at the time the new application is filed, a notice of withdrawal, termination or cancellation of registration of the acquired entity on the forms prescribed by the Office, effective upon disposition of the new application by the Office. The Office may waive the requirements of this subsection where the Office determines it is not necessary, based upon the nature and substance of the proposed acquirer's disciplinary history and experience, to require the filing of a new application for

registration. Any person who receives a waiver of this subsection shall effect such change of control in compliance with the provisions of subparagraph (13)(d)1. ~~subparagraph(12)(d)1~~.

3. No change.

(e) For the purposes of paragraphs ~~(13)(12)(b)~~ and ~~(13)(12)(c)~~ of this rule, in the event that a person(s) succeeds to and continues the business of a Florida registered dealer or investment adviser, the registration of the predecessor shall be deemed to remain effective as the registration of the successor for a period of thirty (30) calendar days after such succession, provided that an amendment to Form ADV together with the accompanying documents as prescribed heretofore, is filed by the successor within thirty (30) calendar days after such succession.

(f) For the purposes of paragraphs ~~(13)(12)(a)~~, ~~(13)(12)(b)~~, ~~(13)(12)(c)~~, and ~~(13)(12)(d)~~ of this rule, the effective registration of all associated persons and branch office notice-filings affiliated with the affected or investment adviser registrant shall be transferred to the successor entity by the Office without necessitating the filing of new applications on behalf of such associated persons and notice-filings of such branch offices, unless notice of termination is filed for such persons and branch offices by the successor pursuant to subsection ~~(10)(9)~~ of this rule.

Rulemaking Authority 517.03(1), 517.12 FS. Law Implemented 517.12 FS. History—New 12-29-15, Amended.

69W-600.0017 Notice-Filing for Federal Covered Advisers.

(1) New Notice-Filings.

(a) No change.

(b) All federal covered advisers making or amending a notice-filing in this state shall file the Form ADV, Part 1, including copies of any amendments filed or required to be filed with the SEC, and the assessment fee required by section 517.1201(1) or (2), F.S., with the IARD in accordance with subsection (1). Form ADV (~~07-17 09-11~~) is hereby incorporated by reference, and a sample form is available at <http://www.flrules.org/Gateway/reference.asp?No=Ref-XXXXX>.

<http://www.flrules.org/Gateway/reference.asp?No=Ref-06076>.

(2) Registration of Associated Persons. All federal covered advisers who notice-file in this state and who request initial registration or amendment of an associated person of the federal covered adviser shall file the Uniform Application for Securities Industry Registration or Transfer (Form ~~U4 U-4~~) and the assessment fee required by Section 517.12(10) or (11), F.S., with the CRD in accordance with rule 69W-600.0024, F.A.C. However, responses to requests by the Office for additional information shall be filed directly with the Office. Form ~~U4 U-~~

4 (05/2009) is hereby incorporated by reference and a sample form is available at <http://www.flrules.org/Gateway/reference.asp?No=Ref-06089>.

(3) No change.

(4) Termination of Notification as Investment Adviser or Registration as Agent.

(a) through (b) No change.

(c) The forms to be utilized for providing notice to the Office under paragraphs (4)(a) and (4)(b) above, are:

1. Notice of Withdrawal from Registration as Investment Adviser (Form ADV-W) (~~7-17~~ ~~11-10~~). A sample form is hereby incorporated by reference and is available at <http://www.flrules.org/Gateway/reference.asp?No=Ref-XXXXX>.

~~<http://www.flrules.org/Gateway/reference.asp?No=Ref-06077>~~.

2. Uniform Termination Notice for Securities Industry Registration (Form ~~U5~~ ~~U-5~~) (05/09). A sample form is hereby incorporated by reference and is available at <http://www.flrules.org/Gateway/reference.asp?No=Ref-06090>. Rulemaking Authority 517.03(1), 517.1201 FS. Law Implemented 517.1201 FS. History—New 12-29-15, Amended _____.

69W-600.002 Application for Registration as Associated Person (FINRA Dealer).

(1) New Applications.

(a) Applicants for initial registration as a principal or associated person of dealers who are members of the Financial Industry Regulatory Authority (FINRA) shall file the Uniform Application for Securities Industry Registration or Transfer (Form ~~U4~~ ~~U-4~~) electronically through the Central Registration Depository (CRD) of FINRA as prescribed by the Financial Services Commission (Commission). The application shall include all information required by such form, any other information the Office of Financial Regulation (Office) may require, and payment of the statutory fees required by section 517.12(10), F.S. The application shall be deemed received by the Office on the date designated in the “Status Date” field on the line notated “FL” with a “Registration Status” of “pending” as indicated on the CRD “Registrations with Current Employers” screen. Every application or amendment filed pursuant to this rule shall constitute a “written application” within the meaning of section 517.12(6), F.S.

(b) An application shall include the following:

1. Form ~~U4~~ ~~U-4~~ (05/2009). A sample form is hereby incorporated by reference and available at <http://www.flrules.org/Gateway/reference.asp?No=Ref-06089>.

2. through 3. No change.

4. Evidence of examinations/qualifications set forth in subsection ~~(7)~~ ~~(6)~~ of this rule.

5. Fingerprints shall be submitted in accordance with section 517.12(7), F.S., and subsection ~~(8)~~ ~~(7)~~ of this rule.

(2) No change.

(3) Burden of Proof. It is the applicant’s responsibility to prove that the statutory and regulatory requirements warranting granting of the application for registration as an associated person are met.

~~(4)~~ ~~(3)~~ Amendment of Application. If the information contained in any Form ~~U4~~ ~~U-4~~ becomes inaccurate for any reason before or after the associated person becomes registered, the associated person through the dealer, shall be responsible for correcting the inaccurate information within thirty (30) days. If the information being updated relates to the applicant’s or registrant’s disciplinary history, in addition to updating the Form ~~U4~~ ~~U-4~~, the associated person through the dealer shall also provide the Office with notice and copies of each civil, criminal or administrative action initiated against the associated person as provided in subsection ~~(11)~~ ~~(10)~~ of this rule. Associated persons of FINRA member firms shall file such amendments through the CRD system.

~~(5)~~ ~~(4)~~ Multiple Registration. An applicant for registration as an associated person may apply to be registered as an associated person of more than one dealer, issuer/dealer, federal covered adviser or investment adviser, or any combination thereof, by the filing of separate applications by each registered dealer, issuer/dealer, federal covered adviser or investment adviser, and payment of separate application fees as required.

~~(6)~~ ~~(5)~~ Alternate Business Name.

(a) No change.

~~(7)~~ ~~(6)~~ Examinations/Qualifications.

(a) Every applicant for registration shall execute and submit a statement attesting to said applicant’s knowledge and review of the Florida Securities and Investor Protection Act, as contained in the Form ~~U4~~ ~~U-4~~.

(b) Every applicant for initial registration as a principal or agent of a dealer shall evidence securities general knowledge by:

1. Submitting to the Office proof of passing, within two years of the date of application for registration, an examination relating to the position to be filled administered by ~~a national securities association or~~ a national securities exchange registered with the Securities and Exchange Commission (SEC); or

2. No change.

3. Having remained continuously registered in the capacity to be filled with the State of Florida without interruption of more than two years; or

4. Submitting to the Office proof of passing, within two years of the date of application for registration, an examination

relating to the position to be filled administered by a national securities association and proof of passing, within four years of the date of application for registration, the Securities Industry Essentials (SIE) Examination. The following individuals will be considered to have passed the SIE Examination:

A. Individuals whose registration as a representative was terminated between October 1, 2014, and September 30, 2018, provided they re-register as a representative within four years from the date of their last registration:

B. Individuals who registered as representatives prior to October 1, 2018, and who continue to maintain those registrations on or after October 1, 2018.

~~(8)(7)~~ Fingerprint Requirements.

(a) through (b) No change.

~~(9)(8)~~ Renewal Requirement.

(a) through (c) No change.

~~(10)(9)~~ Termination of Registration of Principal or Agent.

(a) through (b) No change.

~~(11)(10)~~ Notice of Civil, Criminal or Administrative Action. An associated person shall:

(a) No change.

(b) Notify the Office within thirty (30) calendar days of the date of decision, order, or sanction rendered, or any appeal filed with respect to such decision with regard to any complaint outlined in paragraph ~~(11)(10)~~(a).

(c) Such notifications shall be filed with the Office through the CRD of the FINRA in accordance with subsection ~~(4)(3)~~ of this rule. When specifically requested by the Office pursuant to section 517.021, F.S., one (1) copy of such complaint, answer or reply to any complaint, decision, order, or sanction shall be filed directly with the Office. Responses to requests by the Office for additional information shall be filed directly with the Office.

~~(12)(11)~~ Continuing Education Requirement. Failure to comply with any of the applicable continuing education requirements set forth in any one of the following shall be deemed a demonstration of unworthiness by an associated person under section 517.161(1)(h), F.S.:

(a) FINRA Rule ~~1240~~ ~~1250~~, which is incorporated by reference in rule 69W-200.002, F.A.C.;

(b) No change.

(c) Rule ~~G-3(i)~~ ~~G-3(h)~~ of the Municipal Securities Rulemaking Board, which is incorporated by reference in rule 69W-200.002, F.A.C.;

(d) No change.

(e) Article ~~6~~ ~~VI~~, Rule 11 of NYSE Chicago, Inc. the Chicago Stock Exchange, which is incorporated by reference in rule 69W-200.002, F.A.C.

Rulemaking Authority 517.03(1), 517.12 FS. Law Implemented 517.12 FS. History—New 9-20-82, Formerly 3E-301.02, Amended 10-15-86, 10-4-88, 6-24-90, 7-29-90, 10-14-90, 8-1-91, 6-16-92, 6-28-93,

11-14-93, 3-13-94, 4-30-96, 12-29-96, 6-22-98, 5-10-00, 9-19-00, 7-31-02, 12-11-03, Formerly 3E-600.002, Amended 3-16-06, 5-15-07, 12-24-07, 12-25-08, 11-22-10, 5-29-12, 11-11-13, 12-29-15, 9-25-18, —.

69W-600.0021 Effect of Law Enforcement Records on Applications for Registration as Associated Persons.

(1) General Procedure Regarding Law Enforcement Records. As part of the application review process, the Office is required to consider an applicant’s law enforcement record when deciding whether to approve an application for registration as an associated person. When conducting this review, the Office reviews the applicant’s Form ~~U4~~ ~~U-4~~ responses, criminal history information derived from the fingerprint check, and information from other resources such as the Financial Industry Regulatory Authority. Form U4, Uniform Application for Securities Industry Registration or Transfer (05/2009) is hereby incorporated by reference and available _____ at

<http://www.flrules.org/Gateway/reference.asp?No=Ref-XXXXX>. In the event of a question regarding the applicant’s criminal history, the Office may request additional information from the applicant to determine the status of a criminal event, the specific facts and circumstances surrounding a criminal event, or to address other issues determined relevant to the review of the law enforcement record. The Office will notify the applicant of any specific documents that it requires in order to complete its review. Documentation that is typically requested includes:

(a) through (e) No change.

(2) Effect of Failure to Fully Disclose Law Enforcement Record on Application.

(a) The omission of any part of a law enforcement record required to be disclosed on the Form ~~U4~~ ~~U-4~~ is a material misrepresentation or material misstatement on the application and the application shall be denied pursuant to section 517.161(1)(b), F.S.

(b) If the Office discovers the applicant’s failure to disclose any part of a law enforcement record required to be disclosed on the Form ~~U4~~ ~~U-4~~ after a registration has been granted, the Office will suspend or revoke each registration currently held by the applicant as follows:

1. through 2. No change.

(3) through (16) No change.

~~(17) Form U 4 is incorporated by reference in subsection 69W 301.002(7), F.A.C.~~

~~(17)(18)~~ For purposes of this rule, “certified” means that there must be a certification or attestation by the issuer of the record that the document is a true copy of a record contained in the issuer’s office and the issuer’s seal, if any.

Rulemaking Authority 517.161(2) FS. Law Implemented 517.12, 517.161 FS. History—New 3-2-10, Amended _____.

69W-600.0022 Application for Registration as Associated Person (Non-FINRA Dealer).

(1) New Applications.

(a) Applicants for initial registration as a principal or associated person of dealers who are not members of the Financial Industry Regulatory Authority (FINRA) shall file the Uniform Application for Securities Industry Registration or Transfer (Form ~~U4~~ ~~U-4~~) electronically on the Office of Financial Regulation's website at <https://real.flofr.com> through the Regulatory Enforcement and Licensing (REAL) System as prescribed by the Financial Services Commission (Commission). The application shall include all information required by such form, any other information the Office of Financial Regulation (Office) may require, and payment of the statutory fees required by section 517.12(10), F.S. The application shall be deemed received on the date the Office issues a confirmation of submission and payment to the applicant via the Office's website. Every application or amendment filed pursuant to this rule shall constitute a "written application" within the meaning of section 517.12(6), F.S.

(b) An application shall include the following:

1. Form ~~U4~~ ~~U-4~~ (05/2009), which is hereby incorporated by reference and available at <http://www.flrules.org/Gateway/reference.asp?No=Ref-06089>.

2. through 3. No change.

4. Evidence of examinations/qualifications set forth in subsection ~~(7)(6)~~ of this rule.

5. Fingerprints shall be submitted in accordance with section 517.12(7), F.S., and subsection ~~(8)(7)~~ of this rule.

(2) No change.

(3) Burden of Proof. It is the applicant's responsibility to prove that the statutory and regulatory requirements warranting granting of the application for registration as an associated person are met.

~~(4)(3)~~ Amendment of Application. If the information contained in any Form ~~U4~~ ~~U-4~~ becomes inaccurate for any reason before or after the associated person becomes registered, the associated person through the dealer, shall be responsible for correcting the inaccurate information within thirty (30) days. If the information being updated relates to the applicant's or registrant's disciplinary history, in addition to updating the Form ~~U4~~ ~~U-4~~, the associated person through the dealer shall also provide the Office with notice and copies of each civil, criminal or administrative action initiated against the associated person as provided in subsection ~~(11)(10)~~ of this rule. Associated persons of non-FINRA firms shall file such amendments electronically with the Office through the REAL System.

~~(5)(4)~~ Multiple Registration. An applicant for registration as an associated person may apply to be registered as an

associated person of more than one dealer, issuer/dealer, federal covered adviser or investment adviser, or any combination thereof, by the filing of separate applications by each registered dealer, issuer/dealer, federal covered adviser or investment adviser, and payment of separate application fees as required.

~~(6)(5)~~ Alternate Business Name.

(a) No change.

~~(7)(6)~~ Examinations/Qualifications.

(a) Every applicant for registration shall execute and submit a statement attesting to said applicant's knowledge and review of the Florida Securities and Investor Protection Act, as contained in the Form ~~U4~~ ~~U-4~~.

(b) Every applicant for initial registration as a principal or agent of a dealer shall evidence securities general knowledge by:

1. Submitting to the Office proof of passing, within two years of the date of application for registration, an examination relating to the position to be filled administered by ~~a national securities association or~~ a national securities exchange registered with the Securities and Exchange Commission (SEC); or

2. Submitting to the Office evidence of effective registration, within the preceding two years, with a national securities association or national stock exchange registered with the SEC, relating to the position to be filled as principal or agent; or

3. Having remained continuously registered in the capacity to be filled with the State of Florida without interruption of more than two years; ~~or~~

4. Submitting to the Office proof of passing, within two years of the date of application for registration, an examination relating to the position to be filled administered by a national securities association and proof of passing, within four years of the date of application for registration, the Securities Industry Essentials (SIE) Examination. The following individuals will be considered to have passed the SIE Examination:

A. Individuals whose registration as a representative was terminated between October 1, 2014, and September 30, 2018, provided they re-register as a representative within four years from the date of their last registration;

B. Individuals who registered as representatives prior to October 1, 2018, and who continue to maintain those registrations on or after October 1, 2018.

~~(8)(7)~~ Fingerprint Requirements. Fingerprints filed in accordance with section 517.12(7), F.S., shall be submitted to the Office through a live scan vendor approved by the Florida Department of Law Enforcement (FDLE) and published on FDLE's website for submission to FDLE and the Federal Bureau of Investigation (FBI) for a state criminal background check and a federal criminal background check. The cost of

fingerprint processing shall be borne by the applicant and paid directly to the live scan vendor.

~~(9)(8)~~ Renewal Requirement.

(a) through (c) No change.

~~(10)(9)~~ Termination of Registration of Principal or Agent.

(a) through (b) No change.

~~(11)(40)~~ Notice of Civil, Criminal or Administrative Action. An associated person shall:

(a) No change.

(b) Notify the Office within thirty (30) calendar days of the date of decision, order, or sanction rendered, or any appeal filed with respect to such decision with regard to any complaint outlined in paragraph ~~(11)(40)~~(a).

(c) Such notifications shall be filed with the Office through the REAL System in accordance with subsection ~~(4)(3)~~ of this rule. When specifically requested by the Office pursuant to section 517.021, F.S., one (1) copy of such complaint, answer or reply to any complaint, decision, order, or sanction shall be filed with the Office through the REAL System. Responses to requests by the Office for additional information shall be filed with the Office through the REAL System.

Rulemaking Authority 517.03(1), 517.12 FS. Law Implemented 517.12 FS. History—New 12-29-15, Amended 9-25-18,_____.

69W-600.0023 Application for Registration as Associated Person (Issuer/Dealer).

(1) New Applications.

(a) Applicants for initial registration as a principal or associated person of an issuer/dealer shall file the Uniform Application for Securities Industry Registration or Transfer (Form ~~U4 U-4~~) electronically on the Office of Financial Regulation's website at <https://real.flofr.com> through the Regulatory Enforcement and Licensing (REAL) System as prescribed by the Financial Services Commission (Commission). The application shall include all information required by such form, any other information the Office of Financial Regulation (Office) may require, and payment of the statutory fees required by section 517.12(10), F.S. The application shall be deemed received on the date the Office issues a confirmation of submission and payment to the applicant via the Office's website. Every application or amendment filed pursuant to this rule shall constitute a "written application" within the meaning of section 517.12(6), F.S.

(b) An application shall include the following:

1. Form ~~U4 U-4~~ (05/2009), which is hereby incorporated by reference and available at <http://www.flrules.org/Gateway/reference.asp?No=Ref-06089>.

2. through 3. No change.

4. Evidence of examinations/qualifications set forth in subsection ~~(7)(6)~~ of this rule.

5. Fingerprints shall be submitted in accordance with section 517.12(7), F.S., and subsection ~~(8)(7)~~ of this rule.

(2) No change.

(3) Burden of Proof. It is the applicant's responsibility to prove that the statutory and regulatory requirements warranting granting of the application for registration as an associated person are met.

~~(4)(3)~~ Amendment of Application. If the information contained in any Form ~~U4 U-4~~ becomes inaccurate for any reason before or after the associated person becomes registered, the associated person through the dealer shall be responsible for correcting the inaccurate information within thirty (30) days. If the information being updated relates to the applicant's or registrant's disciplinary history, in addition to updating the Form ~~U4 U-4~~, the associated person through the dealer shall also provide the Office with notice and copies of each civil, criminal or administrative action initiated against the associated person as provided in subsection ~~(11)(40)~~ of this rule. Associated persons of issuer/dealers shall file such amendments electronically with the Office through the REAL System.

~~(5)(4)~~ Multiple Registration. An applicant for registration as an associated person may apply to be registered as an associated person of more than one dealer, issuer/dealer, federal covered adviser or investment adviser, or any combination thereof, by the filing of separate applications by each registered dealer, issuer/dealer, federal covered adviser or investment adviser, and payment of separate application fees as required.

~~(6)(5)~~ Alternate Business Name.

(a) An issuer required to be registered or who elects to be registered pursuant to section 517.12(1), 517.051(9) or 517.061(11), F.S., selling its own securities exclusively through its principals or agents (as those terms are defined in section 517.021, F.S., and rule 69W-200.001, F.A.C., respectively) may obtain registration as an issuer/dealer by filing as required under subsection (1) of this rule, rule 69W-500.011 or 69W-600.0013, F.A.C., as appropriate, provided that:

1. The associated persons of said issuer/dealer comply with the registration requirements of section 517.12, F.S., and subsections ~~(7)(6)~~ and ~~(8)(7)~~ of this rule, provided that such person primarily performs, or is intended to perform at the end of the distribution, substantial duties for, or on behalf of, the issuer other than in connection with transactions in securities,

2. Said issuer/dealer may register up to five (5) associated persons, which persons shall be exempted from the examination requirements of subsection ~~(7)(6)~~ of this rule, provided such issuer/dealer shall register no more than five (5) associated persons, and at the time of application for registration advises the Office of its intention to register no more than five (5) associated persons. Failure to so advise the Office shall require all associated person applicants to fulfill the examination requirements of subsection ~~(7)(6)~~ of this rule. Registration of

more than five (5) such associated persons, at any one time, shall void this exemption, and all such associated persons shall be required to meet the examination requirements of subsection ~~(7)(6)~~ of this rule.

(b) No change.

(c) Associated persons exempted from the examination requirements as provided by subparagraph ~~(6)(5)(a)2.~~, may not be registered with more than one (1) issuer/dealer at the same time.

~~(7)(6)~~ Examinations/Qualifications.

(a) Every applicant for registration shall execute and submit a statement attesting to said applicant's knowledge and review of the Florida Securities and Investor Protection Act, as contained in the Form U4 U-4.

(b) Every applicant for initial registration as a principal or agent of a dealer shall evidence securities general knowledge by:

1. Submitting to the Office proof of passing, within two years of the date of application for registration, an examination relating to the position to be filled administered by ~~a national securities association or a national securities exchange~~ registered with the Securities and Exchange Commission (SEC); or

2. Submitting to the Office evidence of effective registration, within the preceding two years, with a national securities association or national stock exchange registered with the SEC, relating to the position to be filled as principal or agent; or

3. Having remained continuously registered in the capacity to be filled with the State of Florida without interruption of more than two years; or

4. Having complied with the provisions of subparagraph ~~(6)(5)(a)2.~~ of this rule; or

5. Submitting to the Office proof of passing, within two years of the date of application for registration, an examination relating to the position to be filled administered by a national securities association and proof of passing, within four years of the date of application for registration, the Securities Industry Essentials (SIE) Examination. The following individuals will be considered to have passed the SIE Examination:

A. Individuals whose registration as a representative was terminated between October 1, 2014, and September 30, 2018, provided they re-register as a representative within four years from the date of their last registration;

B. Individuals who registered as representatives prior to October 1, 2018, and who continue to maintain those registrations on or after October 1, 2018.

(c) No change.

~~(8)(7)~~ Fingerprint Requirements. Fingerprints filed in accordance with section 517.12(7), F.S., shall be submitted to the Office through a live scan vendor approved by the Florida Department of Law Enforcement (FDLE) and published on FDLE's website for submission to FDLE and the Federal Bureau of Investigation (FBI) for a state criminal background check and a federal criminal background check. The cost of fingerprint processing shall be borne by the applicant and paid directly to the live scan vendor.

~~(9)(8)~~ Renewal Requirement.

(a) through (c) No change.

~~(10)(9)~~ Termination of Registration of Principal or Agent.

(a) through (b) No change.

~~(11)(10)~~ Notice of Civil, Criminal or Administrative Action. An associated person shall:

(a) No change.

(b) Notify the Office within thirty (30) calendar days of the date of decision, order, or sanction rendered, or any appeal filed with respect to such decision with regard to any complaint outlined in paragraph ~~(11)(10)(a)~~.

(c) Such notifications shall be filed with the Office through the REAL System in accordance with subsection ~~(4)(3)~~ of this rule. When specifically requested by the Office pursuant to section 517.021, F.S., one (1) copy of such complaint, answer or reply to any complaint, decision, order, or sanction shall be filed with the Office through the REAL System. Responses to requests by the Office for additional information shall be filed with the Office through the REAL System.

Rulemaking Authority 517.03(1), 517.12 FS. Law Implemented 517.12 FS. History—New 12-29-15, Amended 9-25-18,_____.

69W-600.0024 Application for Registration as Associated Person (Investment Adviser and Federal Covered Adviser).

(1) New Applications.

(a) Applicants for registration as an associated person of investment advisers and federal covered advisers shall file the Uniform Application for Securities Industry Registration or Transfer (Form U4 U-4) electronically through the Central Registration Depository (CRD) of the Financial Industry Regulatory Authority (FINRA) as prescribed by the Financial Services Commission (Commission). The application shall include all information required by such form, any other information the Office of Financial Regulation (Office) may require, and payment of the statutory fees required by section 517.12(10), F.S. The application shall be deemed received by the Office on the date designated in the "Status Date" field on the line notated "FL" with a "Registration Status" of "pending" as indicated on the CRD "Registrations with Current Employers" screen. Every application or amendment filed

pursuant to this rule shall constitute a “written application” within the meaning of section 517.12(6), F.S.

(b) An application shall include the following:

1. Form U4 ~~U-4~~ (05/2009). A sample form is hereby incorporated by reference and available at <http://www.flrules.org/Gateway/reference.asp?No=Ref-06089>.

2. through 3. No change.

4. Evidence of examinations/qualifications set forth in subsection ~~(7)(6)~~ of this rule.

5. Fingerprints shall be submitted in accordance with section 517.12(7), F.S., and subsection ~~(8)(7)~~ of this rule.

(2) No change.

(3) Burden of Proof. It is the applicant’s responsibility to prove that the statutory and regulatory requirements warranting granting of the application for registration as an associated person are met.

~~(4)(3)~~ Amendment of Application. If the information contained in any Form U4 ~~U-4~~ becomes inaccurate for any reason before or after the associated person becomes registered, the associated person through the investment adviser or federal covered adviser shall be responsible for correcting the inaccurate information within thirty (30) days. If the information being updated relates to the applicant’s or registrant’s disciplinary history, in addition to updating the Form U4 ~~U-4~~, the associated person through the investment adviser or federal covered adviser shall also provide the Office with notice and copies of each civil, criminal or administrative action initiated against the associated person as provided in subsection ~~(11)(40)~~ of this rule. Associated persons shall file such amendments through the CRD system.

~~(5)(4)~~ Multiple Registration.

(a) through (b) No change.

~~(6)(5)~~ Alternate Business Name.

(a) No change.

~~(7)(6)~~ Examinations/Qualifications.

(a) Every applicant for registration shall execute and submit a statement attesting to said applicant’s knowledge and review of the Florida Securities and Investor Protection Act, as contained in the Form U4 ~~U-4~~.

(b) An individual applying to be registered as an associated person of an investment adviser or federal covered adviser shall provide the Office with proof of passing—within two years of the date of application for registration, one of the following examinations:

1. The Uniform Investment Adviser Law Examination (Series 65); or

2. The General Securities Representative Examination (Series 7) and the Uniform Combined State Law Examination (Series 66); and

3. Within four years of the date of application for registration, the Securities Industry Essentials (SIE)

Examination. The following individuals will be considered to have passed the SIE Examination:

A. Individuals whose registration as a representative was terminated between October 1, 2014, and September 30, 2018, provided they re-register as a representative within four years from the date of their last registration;

B. Individuals who registered as representatives prior to October 1, 2018, and who continue to maintain those registrations on or after October 1, 2018.

(c) Grandfathering Provisions:

1. Any individual who is or has been registered as an associated person of an investment adviser or federal covered adviser in any jurisdiction in the United States requiring examinations designated in paragraph ~~(7)(6)(b)~~, within two years of the date of application for registration shall not be required to satisfy the examination requirements for continued registration except that the Office may require additional examinations for any individual found to have violated any state or federal securities law.

2. An individual who has not been registered in any jurisdiction in the United States requiring examinations designated in paragraph ~~(7)(6)(b)~~, as an associated person of an investment adviser or federal covered adviser within two years of the date of application for registration shall be required to comply with the examination requirements of this rule.

(d) No change.

~~(8)(7)~~ Fingerprint Requirements.

(a) though (b) No change.

~~(9)(8)~~ Renewal Requirement.

(a) through (c) No change.

~~(10)(9)~~ Termination of Registration of Principal or Agent.

(a) through (b) No change.

~~(11)(40)~~ Notice of Civil, Criminal or Administrative Action. An associated person shall:

(a) Notify the Office within thirty (30) calendar days of the date a complaint is served, of any civil, criminal or administrative charges filed that directly or indirectly relate to the registration or sale of securities, or which directly or indirectly relate to activities as a principal or agent, or any other activity in which a breach of a fiduciary trust is alleged. This shall not include minor traffic violations; but shall include any notification of investigation by any recognized regulatory agency; and

(b) Notify the Office within thirty (30) calendar days of the date of decision, order, or sanction rendered, or any appeal filed with respect to such decision with regard to any complaint outlined in paragraph ~~(11)(40)(a)~~.

(c) Such notifications shall be filed with the Office through the CRD of the FINRA in accordance with subsection ~~(4)3~~ of this rule. When specifically requested by the Office pursuant to section 517.021, F.S., one (1) copy of such complaint, answer

or reply to any complaint, decision, order, or sanction shall be filed directly with the Office. Responses to requests by the Office for additional information shall be filed directly with the Office.

Rulemaking Authority 517.03(1), 517.12 FS. Law Implemented 517.12 FS. History—New 12-29-15, Amended 9-25-18,_____.

69W-600.0031 Notice-Filing of Branch Office (FINRA Dealer).

(1) New Notice-Filings.

(a) No change.

(b) A notice-filing shall include the following:

1. through 2. No change.

~~3. Manager(s) and resident person(s) in charge, as appropriate, must be registered as set forth in rule 69W-600.002, F.A.C.~~

(2) Branch Office Designation. A branch office may ~~or may not~~ be designated as an Office of Supervisory Jurisdiction (OSJ) at the discretion of the registrant. For each branch office designated as an OSJ, a Supervisor branch office manager shall be designated as a principal and registered with the Office. The designated principal shall have passed the examination(s), administered by a national securities association or a national securities exchange registered with the Securities and Exchange Commission, to supervise the activities of the branch office and its associated persons and be registered with the Office as set forth in rule 69W-600.002, F.A.C. For offices not designated as an OSJ, ~~the branch office manager need not be located at the office(s) delegated for supervisory responsibility; however, in such cases,~~ the registrant must specify the OSJ and the Supervisor(s) at the specified OSJ that supervise(s) the branch office. Additionally, the registrant must specify the Person(s)-in-Charge physically located at the branch office. The Person(s)-in-Charge must be registered as set forth in rule 69W-600.002, F.A.C. in writing to the Office, the names of the associated persons designated as resident person(s) in charge as well as the branch office manager.

(3) through (6) No change.

Rulemaking Authority 517.03(1), 517.1202 FS. Law Implemented 517.1202 FS. History—New 12-29-15, Amended _____.

69W-600.0032 Notice-Filing of Branch Office (Non-FINRA Dealer).

(1) New Notice-Filing.

(a) No change.

(b) A notice-filing shall include the following:

1. through 2. No change.

~~3. Manager(s) and resident person(s) in charge, as appropriate, must be registered as set forth in rule 69W-600.0022, F.A.C.~~

(2) Branch Office Designation. A branch office may be designated as an Office of Supervisory Jurisdiction (OSJ) at the

discretion of the registrant. For each branch office designated as an OSJ, a Supervisor shall be designated as a principal and registered with the Office. The designated principal shall have passed the examination(s), administered by a national securities association or a national securities exchange registered with the Securities and Exchange Commission, to supervise the activities of the branch office and its associated persons and be registered with the Office as set forth in rule 69W-600.002, F.A.C. For offices not designated as an OSJ, the registrant must specify the OSJ and the Supervisor(s) at the specified OSJ that supervise(s) the branch office. Additionally, the registrant must specify the Person(s)-in-Charge physically located at the branch office. The Person(s)-in-Charge must be registered as set forth in rule 69W-600.002, F.A.C.

(3)(2) Amendment of Notice-Filing. If the information contained in the Form BR becomes inaccurate or incomplete for any reason after the branch office notice-files, including changing the location of the branch office or the supervisory personnel thereof, the dealer shall amend the information by filing a complete and originally executed Form BR with the Office within thirty (30) days of the change and denoting thereon that the information reported is an amendment to a previous filing. Dealers shall amend the branch office information by filing the Form BR electronically with the Office through the REAL System, in accordance with subsection (1) of this rule. Failure to file amendments, as provided herein, shall be considered a violation of section 517.1202(6), F.S.

(4)(3) Alternate Business Name. It is prohibited for any branch office to conduct securities business in this state under any name other than that of the dealer with which the branch office is notice-filed is registered unless each of the following conditions is met:

(a) through (c) No change.

(5)(4) Renewal Requirement.

(a) No change.

(b) For branch offices of dealers that are not members of FINRA, failure to submit the requisite amount of fees as provided for in paragraph (5)(4)(a), by December 31 of the year of expiration of the notice-filing shall result in the notice-filing not being renewed. If December 31 falls on a Saturday, Sunday or legal holiday pursuant to section 110.117, F.S., the renewals received on the next business day shall be considered timely received. However, an expired notice-filing may be reinstated in accordance with section 517.1202(3), F.S., provided that all requisite information and fees are filed electronically on the Office's website at <https://real.flofr.com> through the REAL System on or before January 31 of the year following the year of expiration. Failure to submit the requisite amount of fees necessary to reinstate the notice-filing by January 31 of the year following the year of expiration shall result in the notice-filing

not being reinstated. If January 31 falls on a Saturday, Sunday, or legal holiday pursuant to section 110.117, F.S., the reinstatement received on the next business day shall be considered timely received. If the renewal or reinstatement is withdrawn or not granted, any fees filed to renew or reinstate the notice-filing shall become the revenue of the state pursuant to the provisions of section 517.1202(8), F.S., and shall not be returnable.

~~(6)(5)~~ Termination of Branch Office. Where a branch office cancels, or otherwise terminates notification, or is terminated for any reason, notice of such fact shall be electronically filed with the Office on the Form BR through the CRD within thirty (30) calendar days of the date of cancellation or termination.

Rulemaking Authority 517.03(1), 517.1202 FS. Law Implemented 517.1202 FS. History—New 12-29-15, Amended.

69W-600.0033 Notice-Filing of Branch Office (Issuer/Dealer).

(1) New Notice-Filings.

(a) No change.

(b) A notice-filing shall include the following:

1. through 2. No change.

~~3. Manager(s) and resident person(s) in charge, as appropriate, must be registered as set forth in rule 69W-600.0023, F.A.C.~~

(2) Branch Office Designation. A branch office may be designated as an Office of Supervisory Jurisdiction (OSJ) at the discretion of the registrant. For each branch office designated as an OSJ, a Supervisor shall be designated as a principal and registered with the Office. The designated principal shall have passed the examination(s), administered by a national securities association or a national securities exchange registered with the Securities and Exchange Commission, to supervise the activities of the branch office and its associated persons and be registered with the Office as set forth in rule 69W-600.002, F.A.C. For offices not designated as an OSJ, the registrant must specify the OSJ and the Supervisor(s) at the specified OSJ that supervise(s) the branch office. Additionally, the registrant must specify the Person(s)-in-Charge physically located at the branch office. The Person(s)-in-Charge must be registered as set forth in rule 69W-600.002, F.A.C.

~~(3)(2)~~ Amendment of Notice-Filing. If the information contained in the Form BR becomes inaccurate or incomplete for any reason after the branch office notice-files, including changing the location of the branch office or the supervisory personnel thereof, the issuer/dealer shall amend the information by filing a complete and originally executed Form BR with the Office within thirty (30) days of the change and denoting thereon that the information reported is an amendment to a previous filing. Issuer/dealers shall amend the branch office

information by filing the Form BR electronically with the Office through the REAL System as set forth in subsection (1) of this rule. Failure to file amendments, as provided herein, shall be considered a violation of section 517.1202(6), F.S.

~~(4)(3)~~ Alternate Business Name. It is prohibited for any branch office to conduct a securities business in this state under any name other than that of the dealer with which the branch office is notice-filed unless each of the following conditions is met:

(a) through (c) No change.

~~(5)(4)~~ Renewal Requirement.

(a) No change.

(b) For branches of issuer/dealers, failure of the firm to submit the requisite amount of fees as provided for in paragraph ~~(5)(4)(a)~~, by December 31 of the year of expiration of the notice-filing shall result in such notice-filing not being renewed. If December 31 falls on a Saturday, Sunday or legal holiday pursuant to section 110.117, F.S., the renewals received on the next business day shall be considered timely received. However, an expired notice-filing may be reinstated in accordance with section 517.1202(3), F.S., provided that all requisite information and fees are filed electronically on the Office's website at <https://real.flofr.com> through the REAL System on or before January 31 of the year following the year of expiration. Failure to submit the requisite amount of fees necessary to reinstate the notice-filing by January 31 of the year following the year of expiration shall result in such registration or notice-filing not being reinstated. If January 31 falls on a Saturday, Sunday, or legal holiday pursuant to section 110.117, F.S., the reinstatement received on the next business day shall be considered timely received. If the renewal or reinstatement is withdrawn or not granted, any fees filed to renew or reinstate the notice-filing shall become the revenue of the state pursuant to the provisions of section 517.1202(8), F.S., and shall not be returnable.

~~(6)(5)~~ Termination of Branch Office. Where a branch office cancels, or otherwise terminates notification, or is terminated for any reason, notice of such fact shall be electronically filed with the Office on the Form BR through the CRD within thirty (30) calendar days of the date of cancellation or termination.

Rulemaking Authority 517.03(1), 517.1202 FS. Law Implemented 517.1202 FS. History—New 12-29-15, Amended.

69W-600.013 Prohibited Business Practices for Dealers and Their Associated Persons.

(1) The following are deemed demonstrations of unworthiness by a dealer under section 517.161(1)(h), F.S., without limiting that term to the practices specified herein:

(a) through (g) No change.

(h) With respect to any customer, transaction or business in this state, violating any of the following:

1. Financial Industry Regulatory Authority (FINRA) rules contained in the Rule 2000 Series (Duties and Conflicts), Rule 3000 Series (Supervision and Responsibilities Relating to Associated Persons), Rule 4000 Series (Financial and Operational Rules), Rule 5000 Series (Securities Offering and Trading Standards and Practices), Rule 6000 Series (Quotation and Transaction Reporting Facilities), ~~or~~ Rule 7000 Series (Clearing, Transaction and Order Data Requirements, and Facility Charges), ~~or Rule 11000 Series (Uniform Practice Code); or~~ National Association of Securities Dealers (NASD) Conduct Rules contained in Rule 2340 or 2510 ~~the Rule 2000 Series (Business Conduct), or Rule 3140, 3150, or IM-3150 Rule 3000 Series (Responsibilities Relating to Associated Persons, Employees, and Others' Employees); or NASD Uniform Practice Code rules contained in the Rule 11000 Series.~~ The foregoing rules are incorporated by reference in rule 69W-200.002, F.A.C.

2. For members of the New York Stock Exchange, Rule 405, 412, or 435 of the New York Stock Exchange, which are incorporated by reference in rule 69W-200.002, F.A.C.

3. No change.

4. Section 15(b)(4)(E) of the Securities Exchange Act of 1934 (15 U.S.C. §78o(b)(4)(E)); Regulation SHO, Regulation of Short Sales, (17 C.F.R. §§242.200-242.203); ~~or NASD Conduct Rule 3210,~~ which are incorporated by reference in rule 69W-200.002, F.A.C.

5. Section 15B of the Securities Exchange Act of 1934, (15 U.S.C. §78o-4), or the following rules of the Municipal Securities Rulemaking Board (MSRB), MSRB Definitional Rules D-1 to D-15 D-14, and General Rules G-1 to G-48 G-43. The foregoing are incorporated by reference in rule 69W-200.002, F.A.C.

6. Section 248.30 of Regulation S-P (17 C.F.R. §248.30), which is incorporated by reference in rule 69W-200.002, F.A.C.

~~7.6.~~ To the extent that any of the rules described in subparagraphs 1. through ~~6.5.~~ of this section or their interpretation by the FINRA, NASD, NYSE, MSRB, or SEC, as appropriate, conflict or are inconsistent with other provisions of the Florida Securities and Investor Protection Act or rules promulgated pursuant thereto, this paragraph of this rule shall not be deemed controlling.

(i) through (o) No change.

(2) The following are deemed demonstrations of unworthiness by an associated person of a dealer under section 517.161(1)(h), F.S., without limiting that term to the practices specified herein:

(a) through (f) No change.

(g) Failing to furnish to each offeree of a Small Corporate Offering Registration (SCOR) a copy of the "Florida Guide to

Small Business Investments," OFR-S-13-97, which is hereby incorporated by reference and available at <http://www.flrules.org/Gateway/reference.asp?No=Ref-XXXXX> ~~in subsection 69W-301.002(7), F.A.C.;~~ and;

(h) No change.

Rulemaking Authority 517.03(1), 517.1217 FS. Law Implemented 517.081, 517.1217, 517.161(1) FS. History—New 12-5-79, Amended 9-20-82, Formerly 3E-600.13, Amended 8-1-91, 6-16-92, 1-11-93, 11-7-93, 5-5-94, 9-9-96, 10-20-97, 1-25-00, 10-30-03, Formerly 3E-600.013, Amended 10-23-06, 1-18-09, 11-22-10, 9-22-14, 11-15-16, _____.

69W-600.0131 Prohibited Business Practices for Investment Advisers and Their Associated Persons.

(1) The following are prohibited business practices for investment advisers and associated persons pursuant to section 517.1215(2), F.S., and are deemed demonstrations of unworthiness by an investment adviser or an associated person of an investment adviser under section 517.161(1)(h), F.S., without limiting that term to the practices specified herein:

(a) through (m) No change.

(n) Recommending to a customer that the customer engage the services of a dealer in connection with which the investment adviser receives a fee or remuneration from the dealer, except as permitted in subsection 69W-600.0024(5) ~~69W-600.0024(4)~~, F.A.C.

(o) Disclosing the identity, affairs, or investments of any customer unless required to do so by law or consented to in writing by the customer.

(p) through (u) No change.

(v) Failing to send a customer an itemized invoice ~~or statement~~ each time a fee is directly deducted from the customer's account in accordance with the provisions of paragraph 69W-600.0132(2)(i), F.A.C.

(w) through (x) No change.

(2) No change.

Rulemaking Authority 517.03(1), 517.1215 FS. Law Implemented 517.12(4), 517.1215, 517.161(1) FS. History—New 1-25-00, Amended 10-30-03, Formerly 3E-600.0131, Amended 10-23-06, 1-18-09, 11-22-10, 9-22-14, 5-6-15, 11-15-16, _____.

69W-600.0132 Custody Requirements for Investment Advisers.

(1) No change.

(2) Safekeeping required. If the investment adviser is registered or required to be registered, it is unlawful for the investment adviser to have custody of client funds or securities unless the following requirements in paragraphs (2)(a)-(i) are met:

(a) Notice to Office. The investment adviser notifies the Office of Financial Regulation (Office) within thirty (30) days in writing that the investment adviser has or may have custody.

Such notification is required to be given on Form ADV, Uniform Application for Investment Adviser Registration (07-17), which is hereby incorporated by reference and available at <http://www.flrules.org/Gateway/reference.asp?No=Ref-XXXXXX>, in subsection 69W-301.002(7), F.A.C.

(b) through (h) No change.

(i) 1. through 2. No change.

3. The investment adviser must notify the Office in writing that the investment adviser intends to use the safeguards provided above. Such notification is required to be given on Form ADV, Uniform Application for Investment Adviser Registration (07-17), which is hereby incorporated by reference and available at <http://www.flrules.org/Gateway/reference.asp?No=Ref-XXXXXX>, in subsection 69W-301.002(7), F.A.C.

(3) Exceptions to certain safekeeping requirements.

(a) No change.

(b) Certain privately offered securities.

1. No change.

2. Notwithstanding subparagraph (3)(b)1. of this rule, the provisions of paragraph (3)(b) of this rule, are available with respect to securities held for the account of a limited partnership (or limited liability company, or other type of pooled investment vehicle) only if the limited partnership is audited, the audited financial statements are distributed, as described in paragraph (3)(d) of this rule, and the investment adviser notifies the Office in writing that the investment adviser intends to provide audited financial statements, as described above. Such notification is required to be given on Form ADV, Uniform Application for Investment Adviser Registration (07-17), which is hereby incorporated by reference and available at <http://www.flrules.org/Gateway/reference.asp?No=Ref-XXXXXX>, in subsection 69W-301.002(7), F.A.C.

(c) No change.

(d) Limited partnerships subject to annual audit. An investment adviser is not required to comply with paragraphs (2)(c) and (2)(d), and shall be deemed to have complied with paragraph (2)(f) of this rule, with respect to the account of a limited partnership (or limited liability company, or any other type of pooled investment vehicle) if each of the following conditions in subparagraphs 1. through 6. are met:

1. through 5. No change.

6. The investment adviser must also notify the Office in writing that the investment adviser intends to employ the use of the statement delivery and audit safeguards described above. Such notification is required to be given on Form ADV, Uniform Application for Investment Adviser Registration (07-17), which is hereby incorporated by reference and available at <http://www.flrules.org/Gateway/reference.asp?No=Ref-XXXXXX>, in subsection 69W-301.002(7), F.A.C.

7. No change.

(e) through (g) No change.

(4) No change.

Rulemaking Authority 517.03(1), 517.1215 FS. Law Implemented 517.1215 FS. History—New 10-23-06, Amended 11-22-10, 9-22-14, 5-6-15,_____.

69W-600.014 Books and Records Requirements.

Except as otherwise provided herein, every dealer, investment adviser, branch office, and associated person conducting business in this state shall prepare and maintain on a current basis, and preserve for the periods of time specified, such records, prescribed herein, as are appropriate for said dealer's, investment adviser's, branch office's, or associated person's course of business, and are sufficient to provide an audit trail of all business transactions by said dealer, investment adviser, associated person, or branch office. Associated persons who conduct business from a branch office notice-filed in this state shall be exempt from the provisions of this rule.

(1) All dealers are required to prepare and maintain appropriate books and records relating to their business as described in ~~either~~ SEC Rules 17a-3 or 17a-4, (17 C.F.R. §§240.17a-3, 240.17a-4), section 248.30 of Regulation S-P (17 C.F.R. §248.30), and ~~or~~ MSRB Rules G-7, G-8 and G-9; and records evidencing compliance with NASD Rules 3140, 3150, and IM-3150 and Financial Industry Regulatory Authority (FINRA) rules contained in the Rule 2000 Series (Duties and Conflicts), Rule 3000 Series (Supervision and Responsibilities Relating to Associated Persons), Rule 4000 Series (Financial and Operational Rules), and Rule 5000 Series (Securities Offering and Trading Standards and Practices) ~~Rule Series 3000~~. The foregoing rules are incorporated by reference in rule 69W-200.002, F.A.C.

(2) All issuer/dealers are required to maintain at least the following records:

(a) through (b) No change.

(c) A record of all sales of securities made by, or on behalf of, the issuer as described in and in compliance with SEC Rule 17a-3(a)(1), (17 C.F.R. § 240.17a-3(a)(1)), which is incorporated by reference in rule 69W-200.002, F.A.C.;

(d) through (e) No change.

(3) through (8) No change.

Rulemaking Authority 517.03(1), 517.121(1), 517.1215 FS. Law Implemented 517.121(1), 517.1215 FS. History—New 12-5-79, Amended 9-20-82, Formerly 3E-600.14, Amended 10-14-90, 8-1-91, 6-16-92, 1-11-93, 9-9-96, 6-22-98, 1-25-00, 10-30-03, Formerly 3E-600.014, Amended 10-23-06, 5-15-07, 11-22-10, 11-11-13, 9-22-14, 5-6-15, 11-15-16,_____.

69W-600.0151 Net Capital and Financial Reporting Requirements for Dealers and Issuer/Dealers.

(1) through (3) No change.

(4) Financial reporting requirements for dealers.

(a) Requirement for dealer applicants. Every dealer applicant, unless exempted under paragraph (4)(c) of this rule, shall file with the Office:

1. A completed SEC Form X-17A-5 Part IIA (FOCUS Report) (~~11-05 02-03~~), which is hereby incorporated by reference and accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-XXXXX>, <http://www.flrules.org/Gateway/reference.asp?No=Ref-05358>, or <http://www.flofr.com/StaticPages/DivisionOfSecurities.htm>, or

- 2. No change.
- (b) through (d) No change.
- (5) through (6) No change.

Rulemaking Authority 517.03(1), 517.12(9), 517.121(2) FS. Law Implemented 517.12(9), 517.121(2), 517.161(1), 517.201 FS. History—New 5-6-15,_____.

69W-600.017 Customer Protection Rule – Reserve Requirements and Custody of Customer Funds and Securities.

All Dealer applicants and registrants subject to the net capital provisions of subsection ~~69W-600.0151(2), 69W-600.016(2)~~; F.A.C., shall be required to prepare and maintain such records and accounts as specified in, and to comply in all other respects with, the provisions of SEC Rule 15c3-3 and Exhibit A (17 C.F.R. §240.15c3-3 and 240.15c3-3a), which are incorporated by reference in rule 69W-200.002, F.A.C.

Rulemaking Authority 517.03(1), 517.12(9), 517.121(2) FS. Law Implemented 517.12(9), 517.121(2) FS. History—New 12-5-79, Formerly 3E-600.17, Amended 6-16-92, Formerly 3E-600.017, Amended 11-22-10, 9-22-14,_____.

69W-600.020 Continuing Education Requirements.

Rulemaking Authority 517.03(1) FS. Law Implemented 517.12(18), 517.161(1) FS. History—New 12-21-95, Amended 8-19-99, 10-30-03, Formerly 3E-600.020, Amended 11-22-10, 9-22-14, Repealed _____.

NAME OF PERSON ORIGINATING PROPOSED RULE:
Alisa G. Goldberg, Acting Director, Division of Securities
NAME OF AGENCY HEAD WHO APPROVED THE PROPOSED RULE: Financial Services Commission
DATE PROPOSED RULE APPROVED BY AGENCY HEAD: July 25, 2019
DATE NOTICE OF PROPOSED RULE DEVELOPMENT PUBLISHED IN FAR: June 20, 2019

DEPARTMENT OF FINANCIAL SERVICES

Securities

RULE NOS.: RULE TITLES:
69W-700.001 Registration of Securities
69W-700.002 Filing of Prospectus

PURPOSE AND EFFECT: The purpose and effect is to amend the existing rules to incorporate by reference the current versions of forms, to make the same available for public access through electronic hyperlinks, to delete references to obsolete forms and web addresses, and to incorporate, in relevant part, the contents of and remove cross-reference to Rule 69W-301.002, Florida Administrative Code (F.A.C.).

SUMMARY: The proposed amended rules incorporate by reference and provide public access through hyperlinks to the current versions of the following forms: Form U-2, Uniform Consent to Service of Process (6/2016); and Form U-7, Small Company Offering Registration (9/1999). Additionally, the proposed amended rules delete references to obsolete forms and web addresses. Furthermore, the proposed amended rules incorporate, in relevant part, the contents of and remove cross-reference to Rule 69W-301.002, F.A.C.

SUMMARY OF STATEMENT OF ESTIMATED REGULATORY COSTS AND LEGISLATIVE RATIFICATION:

The Agency has determined that this will not have an adverse impact on small business or likely increase directly or indirectly regulatory costs in excess of \$200,000 in the aggregate within one year after the implementation of the rule. A SERC has not been prepared by the Agency.

The Agency has determined that the proposed rule is not expected to require legislative ratification based on the statement of estimated regulatory costs or if no SERC is required, the information expressly relied upon and described herein: The Agency expressly relies on an analysis of potential economic impact conducted by persons with subject matter knowledge of these rules.

Any person who wishes to provide information regarding a statement of estimated regulatory costs, or provide a proposal for a lower cost regulatory alternative must do so in writing within 21 days of this notice.

RULEMAKING AUTHORITY: 517.03 FS.

LAW IMPLEMENTED: 517.07, 517.081, 517.101 FS.

IF REQUESTED WITHIN 21 DAYS OF THE DATE OF THIS NOTICE, A HEARING WILL BE SCHEDULED AND ANNOUNCED IN THE FAR.

THE PERSON TO BE CONTACTED REGARDING THE PROPOSED RULE IS: Ryann White, Division of Securities (850)410-9803, Ryann.White@flofr.com

THE FULL TEXT OF THE PROPOSED RULE IS:

69W-700.001 Registration of Securities

(1) No change.

(a) Form OFR-S-1-91, Application for Registration of Securities (12/15) or Form OFR-S-12-97, SCOR (Small Corporate Offering Registration) Application to Register Securities (12/15). These forms are hereby incorporated by reference and are available at <http://www.flrules.org/Gateway/reference.asp?No=Ref-06082>; or <http://www.flrules.org/Gateway/reference.asp?No=Ref-06086>, or http://www.flofr.com/PDFs/OFR_S_1_91.PDF, or http://www.flofr.com/PDFs/OFR_S_12_97.PDF;

(b) OFR-S-7-91, Exhibit 1 (General Issue) (11/22/10). This form is hereby incorporated by reference and is available at <http://www.flrules.org/Gateway/reference.asp?No=Ref-06085>; or http://www.flofr.com/PDFs/OFR_S_7_91.PDF;

(c) An irrevocable written Uniform Consent to Service of Process, Form U-2 (6/2016 effective 9/15). This form is hereby incorporated by reference and is available at <http://www.flrules.org/Gateway/reference.asp?No=XXXXX>, or Form OFR-S-5-91, Uniform Consent to Service of Process (11/22/10). These forms are hereby incorporated by reference and are available at <http://www.flrules.org/Gateway/reference.asp?No=Ref-06087>; or <http://www.flrules.org/Gateway/reference.asp?No=Ref-06083>, or http://www.flofr.com/PDFs/OFR_S_5_91.PDF;

(d) Uniform Corporate Resolution, Form U-2A (effective 9/15) or Form OFR-S-6-91, Corporate Resolution (11/22/10). These forms are hereby incorporated by reference and are available at <http://www.flrules.org/Gateway/reference.asp?No=Ref-06088>; or http://www.flofr.com/PDFs/OFR_S_6_91.PDF, or <http://www.flrules.org/Gateway/reference.asp?No=Ref-06084>.

(2) Request for Additional Information. All information required by subsection (1) of this rule, shall be submitted with the original application filing. The required exhibits in the application forms are not intended to limit the applicant's presentation of any of the requirements, but merely represent the minimum information to be filed. Any request for additional documents or information shall be made by the Office within thirty (30) days after receipt of the application. Additional information shall be submitted directly with the Office within sixty (60) days after a request has been made by the Office. Failure to respond to such request within sixty (60) days after the date of the request may be construed by the Office as grounds for denial of an application.

(3) Amendment of Application. An applicant may amend the application as to those factors generally within the control or selection of the applicant once, as a matter of course, at any time within thirty (30) days from its receipt for filing.

Otherwise, the application may be amended only with prior permission from the Office. Requests to make changes which are material to the application or to the Office's evaluation of the application filed at any time after the application has been received may be deemed by the Office to be grounds for denial, and a new application, accompanied by the appropriate filing fee, may be required.

(4) Burden of Proof. It is the applicant's responsibility to prove that the statutory and regulatory requirements warranting granting of the authority requested by the applicant are met.

(5)(2) Financial Reporting Requirements for Securities Registration.

(a) through (b) No change.

(c) If any of the proceeds of the securities offered for registration are to be used directly or indirectly for the purchase of any business or portion thereof, financial statements of such business or portion thereof are required to be filed as required by paragraph (5)(a) ~~(2)(a)~~ of this rule.

(d) No change.

Rulemaking Authority 517.03 FS. Law Implemented 517.07, 517.081, 517.101 FS. History—(Formerly 3E-20.011) New 9-20-82, Formerly 3E-700.01, Amended 7-31-91, Formerly 3E-700.001, Amended 9-22-14, 12-29-15, _____.

69W-700.002 Filing of Prospectus.

(1) No change.

(2) Any prospectus which depicts the United States Securities and Exchange Commission's statement pursuant to a registration statement filed under the Securities Act of 1933, a letter of notification under Regulation A of the Securities Act of 1933 (17 C.F.R. §§230.251 through 230.263) or Form U-7, Small Corporate Offering Registration (9/1999), will be considered to be in substantial compliance with the requirement of subsection (1), above. Regulation A is incorporated by reference in rule 69W-200.002, F.A.C., and Form U-7 is hereby incorporated by reference and is available at <http://www.flrules.org/Gateway/reference.asp?No=Ref-XXXXX>, in subsection 69W-301.002(7), F.A.C.

Rulemaking Authority 517.03(1) FS. Law Implemented 517.081(3) FS. History—(Formerly 3E-20.01) New 9-20-82, Formerly 3E-700.02, Amended 10-26-97, Formerly 3E-700.002, Amended 11-22-10, 9-22-14, _____.

NAME OF PERSON ORIGINATING PROPOSED RULE:
Alisa G. Goldberg, Acting Director, Division of Securities
NAME OF AGENCY HEAD WHO APPROVED THE PROPOSED RULE: Financial Services Commission
DATE PROPOSED RULE APPROVED BY AGENCY HEAD: July 25, 2019
DATE NOTICE OF PROPOSED RULE DEVELOPMENT PUBLISHED IN FAR: June 20, 2019

DEPARTMENT OF FINANCIAL SERVICES

Securities

RULE NOS.: RULE TITLES:
 69W-800.001 Filing - Notification Registration Including Shelf Filings
 69W-800.003 Effective Registration
 69W-800.004 Circulation of Preliminary Prospectus

PURPOSE AND EFFECT: The purpose and effect is to amend Rules 69W-800.001 and 69W-800.004, F.A.C., to incorporate by reference the current versions of forms and to make the same available for public access through electronic hyperlink. Rule 69W-800.001 is further amended to incorporate relevant provisions of Rules 69W-800.003, and 69W-301.002, F.A.C. Rule 69W-800.003, F.A.C., is repealed. Additionally, the proposed amended rules delete references to obsolete forms.

SUMMARY: The proposed amended rules delete reference to Rule 69W-301.002, F.A.C., and incorporate by reference and provide public access through hyperlinks to the current versions of the following forms: Form U-1, Uniform Application to Register Securities (9/16); and Form U-2, Uniform Consent to Service of Process, (6/2016). Form OFR-S-5-91, Uniform Consent to Service of Process, Effective 11/22/10; Form U-2A, Uniform Corporate Resolution (6/2016); Form OFR-S-6-91, Corporate Resolution, Effective 11/22/10; and Form OFR-S-3-91, Notification Registration Form, Effective 11/22/10 are deleted as these forms are duplicative of the current versions of the forms these rules are amended to incorporate. Additionally, proposed amended Rule 69W-800.001, F.A.C., directs applicants to file registrations through the Regulatory Enforcement and Licensing (REAL) System on the Office’s website. Rule 69W-800.003, F.A.C., is repealed.

SUMMARY OF STATEMENT OF ESTIMATED REGULATORY COSTS AND LEGISLATIVE RATIFICATION:

The Agency has determined that this will not have an adverse impact on small business or likely increase directly or indirectly regulatory costs in excess of \$200,000 in the aggregate within one year after the implementation of the rule. A SERC has not been prepared by the Agency.

The Agency has determined that the proposed rule is not expected to require legislative ratification based on the statement of estimated regulatory costs or if no SERC is required, the information expressly relied upon and described herein: The Agency expressly relies on an analysis of potential economic impact conducted by persons with subject matter knowledge of this rule.

Any person who wishes to provide information regarding a statement of estimated regulatory costs, or provide a proposal for a lower cost regulatory alternative must do so in writing within 21 days of this notice.

RULEMAKING AUTHORITY: 517.03(1) FS.

LAW IMPLEMENTED: 517.082 FS.

IF REQUESTED WITHIN 21 DAYS OF THE DATE OF THIS NOTICE, A HEARING WILL BE SCHEDULED AND ANNOUNCED IN THE FAR.

THE PERSON TO BE CONTACTED REGARDING THE PROPOSED RULE IS: Ryann White, Division of Securities, (850)410-9803, Ryann.White@flofr.com

THE FULL TEXT OF THE PROPOSED RULE IS:

69W-800.001 Filing – Notification Registration Including Shelf Filings.

(1) An application for Notification Registration or a shelf filing not in conflict with the provisions of section 517.082(3), F.S., shall file the Uniform Application to Register Securities (Form U-1) electronically on the Office of Financial Regulation (Office) website at <https://real.flofr.com> through the Regulatory Enforcement and Licensing (REAL) System. The application shall include all information required by such form and payment of the statutory fees, as required by section 517.082, F.S. Exhibits which are required may not be incorporated by reference to previous filings. shall be filed on Form OFR S 3-91, Notification Registration, and Form U 1, Uniform Application to Register Securities, which are hereby incorporated by reference in subsection 69W-301.002(7), F.A.C. The application shall include:

(a) Form U-1, Uniform Application to Register Securities (09/16), which is hereby incorporated by reference and available at <http://www.flrules.org/Gateway/reference.asp?No=Ref-XXXXX>;

~~(b)(a)~~ One (1) copy of the initial registration statement as filed with the United States Securities and Exchange Commission unless effective upon filing with the Office of Financial Regulation;

~~(c)(b)~~ Form U-2, An irrevocable written Uniform Consent to Service of Process (09/16), Form U 2 or Form OFR S 5-91 and Uniform Corporate Resolution, Form U 2A or Form OFR S 6-91, which is hereby are incorporated by reference and available at <http://www.flrules.org/Gateway/reference.asp?No=Ref-XXXXX>; in subsection 69W-301.002(7), F.A.C., as described in section 517.101, F.S. It shall be the choice of the applicant to file either the Form U 2 or the Form OFR S 5-91, either of which are acceptable to the office. It shall also be the choice of the applicant to file either the Form U 2A or Form OFR S 6-91;

~~(e)~~ Payment of the statutory fee as required in section 517.082, F.S.;

(d) through (e) No change.

(2) A registration under section 517.082, F.S., becomes effective when the federal registration becomes effective or as of the date the application is filed with the Office of Financial Regulation, whichever is later. Sales may be made in this state upon effectiveness without written confirmation by the Office of Financial Regulation. ~~(2) Exhibits which are required may not be incorporated by reference to previous filings.~~

(3) No change.

(4) A copy of the SEC "Notice of Effectiveness" ~~Electronic notification of effective registration with the SEC~~ shall be filed within ten (10) business days from the date federal registration is granted if such registration was pending with the SEC at the time the notification application was filed.

(5) through (6) No change.

Rulemaking Authority 517.03(1) FS. Law Implemented 517.082 FS. History—New 10-15-86, Amended 12-8-87, 7-31-91, 10-1-96, 10-20-97, Formerly 3E-800.001, Amended 11-22-10, 10-29-12, 9-22-14,

69W-800.003 Effective Registration.

Rulemaking Authority 517.03(1) FS. Law Implemented 517.082 FS. History—New 10-15-86, Amended 11-14-93, 10-1-96, Formerly 3E-800.003, Amended 11-22-10, Repealed.

69W-800.004 Circulation of Preliminary Prospectus.

A preliminary prospectus if designated as such may be used by dealers registered with the Office of Financial Regulation, provided that Form U-1, Uniform Application to Register Securities (09/16), which is hereby incorporated by reference and available at <http://www.flrules.org/Gateway/reference.asp?No=Ref-XXXXX>, ~~the Notification Registration (Form OFR S 3-91), which is incorporated by reference in subsection 69W-301.002(7), F.A.C.~~, has been filed with the Office of Financial Regulation and each purchaser of securities is provided not later than the time of the sale of securities with the offering circular contained in the definitive registration statement effective under the Securities Act of 1933 as referenced in section 517.082, F.S. Rulemaking Authority 517.03(1) FS. Law Implemented 517.082 FS. History—New 10-15-86, Amended 12-8-87, 7-31-91, 10-1-96, 10-20-97, Formerly 3E-800.004, Amended 11-22-10,_____.

NAME OF PERSON ORIGINATING PROPOSED RULE:
Alisa G. Goldberg, Acting Director, Division of Securities
NAME OF AGENCY HEAD WHO APPROVED THE PROPOSED RULE: Financial Services Commission
DATE PROPOSED RULE APPROVED BY AGENCY HEAD: July 25, 2019
DATE NOTICE OF PROPOSED RULE DEVELOPMENT PUBLISHED IN FAR: June 20, 2019

DEPARTMENT OF FINANCIAL SERVICES

Securities

RULE NO.: RULE TITLE:

69W-900.001 Disclosure of Business Activities in Cuba

PURPOSE AND EFFECT: The purpose and effect is to amend the existing rule to incorporate by reference CUBA FORM, Disclosure of Business Activities in Cuba Form, Effective 11/22/10.

SUMMARY: The amended rule will incorporate by reference and make available for public access through an electronic hyperlink CUBA FORM, Disclosure of Business Activities in Cuba Form, Effective 11/22/10. Additionally, the proposed rule amendment deletes reference to Rule 69W-301.002, Florida Administrative Code.

SUMMARY OF STATEMENT OF ESTIMATED REGULATORY COSTS AND LEGISLATIVE RATIFICATION:

The Agency has determined that this will not have an adverse impact on small business or likely increase directly or indirectly regulatory costs in excess of \$200,000 in the aggregate within one year after the implementation of the rule. A SERC has not been prepared by the Agency.

The Agency has determined that the proposed rule is not expected to require legislative ratification based on the statement of estimated regulatory costs or if no SERC is required, the information expressly relied upon and described herein: The Agency expressly relies on an analysis of potential economic impact conducted by persons with subject matter knowledge of this rule.

Any person who wishes to provide information regarding a statement of estimated regulatory costs, or provide a proposal for a lower cost regulatory alternative must do so in writing within 21 days of this notice.

RULEMAKING AUTHORITY: 517.075, FS.

LAW IMPLEMENTED: 517.075 FS.

IF REQUESTED WITHIN 21 DAYS OF THE DATE OF THIS NOTICE, A HEARING WILL BE SCHEDULED AND ANNOUNCED IN THE FAR.

THE PERSON TO BE CONTACTED REGARDING THE PROPOSED RULE IS: Ryann White, Division of Securities, (850)410-9803, Ryann.White@flofr.com.

THE FULL TEXT OF THE PROPOSED RULE IS:

69W-900.001 Disclosure of Business Activities in Cuba.

(1) through (2) No change.

(3) The Office of Financial Regulation’s CUBA FORM, Disclosure of Business Activities in Cuba Form, Effective 11/22/10, ~~which~~ is hereby incorporated by reference and available at [3619](http://www.flrules.org/Gateway/reference.asp?No=Ref-</u></p>
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~~XXXXX, in subsection 69W-301.002(7), F.A.C., and available from the Office of Financial Regulation,~~ shall be used to notify the Office of Financial Regulation of any business or change in business as required by subsection (3) of section 517.075, F.S.

(a) through (b) No change.

Rulemaking Authority 517.075 FS. Law Implemented 517.075 FS. History—New 8-17-92, Formerly 3E-900.001, Amended 11-22-10, 9-22-14, _____.

NAME OF PERSON ORIGINATING PROPOSED RULE:
Alisa G. Goldberg, Acting Director, Division of Securities
NAME OF AGENCY HEAD WHO APPROVED THE PROPOSED RULE: Financial Services Commission
DATE PROPOSED RULE APPROVED BY AGENCY HEAD: July 25, 2019
DATE NOTICE OF PROPOSED RULE DEVELOPMENT PUBLISHED IN FAR: June 20, 2019

DEPARTMENT OF FINANCIAL SERVICES

Securities

RULE NO.: RULE TITLE:

69W-1000.001 Disciplinary Guidelines

PURPOSE AND EFFECT: The purpose and effect is to amend the Disciplinary Guidelines for Chapter 517, Florida Statutes, and Division 69W, Florida Administrative Code, incorporated by reference in Rule 69W-1000.001, F.A.C., in order to reflect current versions of FINRA rules and other materials incorporated by reference, remove guidelines for repealed rules, revise the guidelines to reflect appropriate sanctions, reorder the guidelines to improve organization, and remove redundancies.

SUMMARY: The rule is proposed for amendment to update the disciplinary guidelines incorporated by reference in the rule. The Office proposes to make changes to disciplinary guidelines for violations of several subsections of Chapter 69W, F.A.C.

SUMMARY OF STATEMENT OF ESTIMATED REGULATORY COSTS AND LEGISLATIVE RATIFICATION:

The Agency has determined that this will not have an adverse impact on small business or likely increase directly or indirectly regulatory costs in excess of \$200,000 in the aggregate within one year after the implementation of the rule. A SERC has not been prepared by the Agency.

The Agency has determined that the proposed rule is not expected to require legislative ratification based on the statement of estimated regulatory costs or if no SERC is required, the information expressly relied upon and described herein: The Agency expressly relies on an analysis of potential economic impact conducted by persons with subject matter knowledge of these rules.

Any person who wishes to provide information regarding a statement of estimated regulatory costs, or provide a proposal

for a lower cost regulatory alternative must do so in writing within 21 days of this notice.

RULEMAKING AUTHORITY: 517.1611(1) FS.

LAW IMPLEMENTED: 517.11, 517.121, 517.161, 517.1202, 517.1611(1), 517.191(4), 517.221(3), (4) FS.

IF REQUESTED WITHIN 21 DAYS OF THE DATE OF THIS NOTICE, A HEARING WILL BE SCHEDULED AND ANNOUNCED IN THE FAR.

THE PERSON TO BE CONTACTED REGARDING THE PROPOSED RULE IS: Ryann White, Division of Securities (850)410-9803, Ryann.White@flofr.com

THE FULL TEXT OF THE PROPOSED RULE IS:

69W-1000.001 Disciplinary Guidelines.

(1) Pursuant to section 517.1611, F.S., disciplinary guidelines applicable to each ground for which disciplinary action may be imposed by the Office against an individual or a firm under chapter 517, F.S., are hereby adopted. The disciplinary guidelines are contained in the Office of Financial Regulation Disciplinary Guidelines for chapter 517, Florida Statutes (F.S.) and Division 69W, Florida Administrative Code (F.A.C.) (effective ~~XX-19-10-16~~), which is hereby incorporated by reference. A copy of the disciplinary guidelines may be obtained by mail from the Florida Office of Financial Regulation, Division of Securities, 200 E. Gaines Street, Tallahassee, Florida 32399, or may be obtained electronically through the following website: <http://www.flrules.org/Gateway/reference.asp?No=Ref-XXXXX>.

~~<http://www.flrules.org/Gateway/reference.asp?No=Ref-07396>~~

(2) through (9) No change.

Rulemaking Authority 517.1611(1) FS. Law Implemented 517.111, 517.121, 517.161, 517.1202, 517.1611(1), 517.191(4), 517.221(3), (4) FS. History—New 11-22-10, Amended 11-14-13, 5-6-15, 11-15-16, .

NAME OF PERSON ORIGINATING PROPOSED RULE:
Alisa G. Goldberg, Acting Director, Division of Securities
NAME OF AGENCY HEAD WHO APPROVED THE PROPOSED RULE: Financial Services Commission
DATE PROPOSED RULE APPROVED BY AGENCY HEAD: July 25, 2019
DATE NOTICE OF PROPOSED RULE DEVELOPMENT PUBLISHED IN FAR: June 20, 2019

**Section III
Notice of Changes, Corrections and
Withdrawals**

NONE

Section IV
Emergency Rules

NONE

Section V
Petitions and Dispositions Regarding Rule
Variance or Waiver

DEPARTMENT OF HEALTH

Board of Optometry

RULE NO.: RULE TITLE:

64B13-4.001 Examination Requirements

The Board of Optometry hereby gives notice: of the issuance of an Order regarding the Petition for Waiver or Variance, which was filed on June 18, 2019, by Ayana Pierre, O.D. Petitioner was seeking a waiver or variance from subparagraph 64B13-4.001(1)(d)3., F.A.C., entitled, "Examination Requirements" regarding the passage of examinations. The Notice was published in Volume 45, No. 123, of the Florida Administrative Register, on June 25, 2019.

The Board considered the instant Petition at a duly-noticed meeting, held July 17, 2019, in Orlando, Florida. The Board's Order, filed on August 2, 2019, denied the petition finding that Petitioner had failed to establish that the purpose of the underlying statute would be met by granting a variance or waiver from subparagraph 64B13-4.001(1)(d)3., F.A.C. The Board further finds that Petitioner failed to establish that applying the requirements of the aforementioned rule to her circumstances would violate principles of fairness and impose substantial hardship.

A copy of the Order or additional information may be obtained by contacting: Anthony B. Spivey, Executive Director, Board of Optometry, 4052 Bald Cypress Way, Bin # C07, Tallahassee, Florida 32399-3257, telephone: (850)488-0595, or by electronic mail – Anthony.Spivey@flhealth.gov.

Section VI

Notice of Meetings, Workshops and Public Hearings

DEPARTMENT OF STATE

Division of Library and Information Services

The Department of State announces a public meeting to which all persons are invited.

DATES AND TIMES: August 22, 2019, 1:00 p.m. – 5:00 p.m. Eastern Time; August 23, 2019, 10:30 a.m. – 2:00 p.m. Eastern Time

PLACE: Southeast Branch Library, St. Johns County Public Library System, 6670 US 1 South, St. Augustine, FL 32086. To connect to the meeting online, visit <https://attendee.gotowebinar.com/register/7591161719633720577>.

GENERAL SUBJECT MATTER TO BE CONSIDERED: The Board of Directors of the Friends of the State Library and Archives of Florida Inc. will meet to discuss regular business and long-range planning for the organization.

A copy of the agenda may be obtained by contacting: Lindsey Harrington with the Division of Library and Information Services at lindsey.harrington@dos.myflorida.com or (850)245-6614.

Pursuant to the provisions of the Americans with Disabilities Act, any person requiring special accommodations to participate in this workshop/meeting is asked to advise the agency at least five (5) days prior to the workshop/meeting by contacting Lindsey Harrington at (850)245-6614 or lindsey.harrington@dos.myflorida.com. If you are hearing or speech impaired, please contact the agency using the Florida Relay Service at 1(800)955-8771 (TDD) or 1(800)955-8770 (Voice).

For the procedure on making a public comment during the meeting, please refer to the Division's Public Comment Policy. For more information, you may contact: Lindsey Harrington with the Division of Library and Information Services at lindsey.harrington@dos.myflorida.com or (850)245-6614.

DEPARTMENT OF STATE

Division of Cultural Affairs

The Florida Division of Cultural Affairs announces a telephone conference call to which all persons are invited.

DATE AND TIME: Friday, September 13, 2019, 9:00 a.m. until conclusion

PLACE: This meeting will be held via webinar and teleconference. Please join the meeting from your computer, tablet or smartphone. <https://global.gotomeeting.com/join/413967413>

You can also dial in using your phone. United States: (571)317-3112, Access Code: 413-967-413

Joining from a video-conferencing room or system?

Depending on your device, dial: 413967413@67.217.95.2 or 67.217.95.2##413967413

GENERAL SUBJECT MATTER TO BE CONSIDERED: To review and score grant applications for the 2020-2021 Artist Projects and Artist Performance on Tour grants under the Specific Cultural Projects Grant Program.

A copy of the agenda may be obtained by contacting: The Division of Cultural Affairs at (850)245-6470 or by visiting our website: www.florida-arts.org.

Pursuant to the provisions of the Americans with Disabilities Act, any person requiring special accommodations to participate in this workshop/meeting is asked to advise the agency at least 48 hours before the workshop/meeting by contacting: **Rachelle Ashmore** at rachelle.ashmore@dos.myflorida.com. If you are hearing or speech impaired, please contact the agency using the Florida Relay Service, 1(800)955-8771 (TDD) or 1(800)955-8770 (Voice).

For more information, you may contact: **Hillary Crawford**, (850)245-6462, jenice.crawford@dos.myflorida.com.

DEPARTMENT OF LEGAL AFFAIRS

The Direct Support Organization of the Statewide Council on Human Trafficking announces a public meeting to which all persons are invited.

DATE AND TIME: Wednesday, August 21, 2019, 2:30 p.m. until conclusion

PLACE: Hillsborough County Sheriff's Office, Falkenburg Road Jail Assembly Room, 520 N. Falkenburg Road, Tampa, FL 33619

GENERAL SUBJECT MATTER TO BE CONSIDERED: Direct Support Organization Business

A copy of the agenda may be obtained by contacting: **Lynn Guyton** at Lynn.Guyton@myfloridalegal.com or by accessing the Council's website at: http://myfloridalegal.com/_85256CC5006DFCC3.nsf/0/8AE A5858B1253D0D85257D34005AFA72?Open&Highlight=0, statewide,council,meeting.

Pursuant to the provisions of the Americans with Disabilities Act, any person requiring special accommodations to participate in this workshop/meeting is asked to advise the agency at least 7 days before the workshop/meeting by contacting: the Office of Attorney General **Ashley Moody** at (850)414-3300. If you are hearing or speech impaired, please contact the agency using the Florida Relay Service, 1(800)955-8771 (TDD) or 1(800)955-8770 (Voice).

If any person decides to appeal any decision made by the Board with respect to any matter considered at this meeting or hearing, he/she will need to ensure that a verbatim record of the proceeding is made, which record includes the testimony and evidence from which the appeal is to be issued.

For more information, you may contact: **Lynn Guyton** at Lynn.Guyton@myfloridalegal.com or by telephone at 1(813)287-7950.

DEPARTMENT OF EDUCATION

Florida School for the Deaf and the Blind

The Florida School for the Deaf and the Blind (FSDB) announces a public meeting to which all persons are invited.

DATE AND TIME: Friday, August 23, 2019, 2:00 p.m.

PLACE: Florida School for the Deaf and the Blind, 207 N. San Marco Ave., St. Augustine, FL 32084, Moore Hall, Center for Learning and Development meeting room. Moore Hall is located on the corner of Macaris St. and San Marcos Ave. Parking is available on campus and free.

GENERAL SUBJECT MATTER TO BE CONSIDERED: This meeting pertains to the day-to-day operations of FSDB. There will be an Executive Session during the meeting, which will consist of FSDB's Administrative staff and general counsel.

A copy of the agenda may be obtained by contacting: **Cindy Brueckner**, Executive Assistant to the President and Board of Trustees, at (904)827-2210 or by email at bruecknerc@fsdbk12.org. The Agenda for this meeting will be available for release on August 16, 2019

Pursuant to the provisions of the Americans with Disabilities Act, any person requiring special accommodations to participate in this workshop/meeting is asked to advise the agency at least 48 hours before the workshop/meeting by contacting: **Cindy Brueckner**, Executive Assistant to the President and Board of Trustees, at (904)827-2210 or by email at bruecknerc@fsdbk12.org. All FSDB public meetings have American Sign Language (ASL) interpreters available to assist the Deaf community with communication; however, if you require additional accommodations to participate please contact Ms. Brueckner's office (see contact information above). If you are hearing or speech impaired, please contact the agency using the Florida Relay Service, 1(800)955-8771 (TDD) or 1(800)955-8770 (Voice).

If any person decides to appeal any decision made by the Board with respect to any matter considered at this meeting or hearing, he/she will need to ensure that a verbatim record of the proceeding is made, which record includes the testimony and evidence from which the appeal is to be issued.

For more information, you may contact: **Jeanne Prickett**, President, at prickettj@fsdbk12.org or **Cindy Brueckner**, Executive Assistant to the President and Board of Trustees, at (904)827-2210 or by email at bruecknerc@fsdbk12.org.

STATE BOARD OF ADMINISTRATION

RULE NOS.:RULE TITLES:

- 19-8.010 Reimbursement Contract
- 19-8.028 Reimbursement Premium Formula
- 19-8.029 Insurer Reporting Requirements and Responsibilities

The Florida Hurricane Catastrophe Fund Advisory Council announces a telephone conference call to which all persons are invited.

DATE AND TIME: August 20, 2019, 11:00 a.m. ET until conclusion of meeting.

PLACE: Persons wishing to participate may dial 1(888)585-9008 and enter conference code 973-664-296.

GENERAL SUBJECT MATTER TO BE CONSIDERED: Notices of Proposed Rule for Rules 19-8.010, F.A.C., Reimbursement Contract, 19-8.028, F.A.C., Reimbursement Premium Formula, and 19-8.029, F.A.C., Insurer Reporting Requirements and Responsibilities, were published on July 26, 2019, providing the public with 21 days from that date to request a rule hearing. If a rule hearing is timely requested for one or more of these Rules, the Advisory Council will meet by conference call on August 20, 2019, to review comments made by the public at the rule hearing. In addition, other general business of the Council may be addressed.

A copy of the agenda may be obtained by contacting: Leonard Schulte, Florida Hurricane Catastrophe Fund, P.O. Drawer 13300, Tallahassee, FL 32317-3300, leonard.schulte@sbafla.com, (850)413-1335.

Pursuant to the provisions of the Americans with Disabilities Act, any person requiring special accommodations to participate in this workshop/meeting is asked to advise the agency at least 7 days before the workshop/meeting by contacting: Leonard Schulte at the email or number listed above. If you are hearing or speech impaired, please contact the agency using the Florida Relay Service, 1(800)955-8771 (TDD) or 1(800)955-8770 (Voice).

EXECUTIVE OFFICE OF THE GOVERNOR

The following state governmental agencies, boards and commissions announce a public meeting to which all persons are invited:

- State Board of Administration
- Division of Bond Finance
- Financial Services Commission
- Office of Insurance Regulation
- Office of Financial Regulation
- Department of Veterans' Affairs
- Department of Highway Safety and Motor Vehicles
- Department of Law Enforcement
- Department of Revenue
- Administration Commission
- Florida Land and Water Adjudicatory Commission
- Board of Trustees of the Internal Improvement Trust Fund
- Department of Environmental Protection

DATE AND TIME: August 27, 2019, 9:00 a.m.

PLACE: Cabinet Meeting Room, Lower Level, The Capitol, Tallahassee, Florida

GENERAL SUBJECT MATTER TO BE CONSIDERED:

The State Board of Administration will take action on matters duly presented on its agenda, which may include such matters as Executive Director's reports; approval of fiscal sufficiency of state bond issues; approval of sale of local bonds at an

interest rate in excess of statutory interest rate limitation; reports on investment performance; designation of banks as depositories for state funds; adoption of rules and regulations; investment of state funds pursuant to Chapter 215, F.S.; and consideration of other matters within its authority pursuant to Chapters 215 and 344, F.S., and Section 16 of Article IX of the Florida Constitution of 1885, as continued by subsection 9(c) of Article XII of the Florida Constitution of 1968.

The Division of Bond Finance of the State Board of Administration will take action on matters duly presented on its agenda, which will deal with the issuance of State bonds, arbitrage compliance and related matters.

The Financial Services Commission will take action on matters duly presented on its agenda which may include, but not be limited to; matters relating to rulemaking for all activities of the Office of Insurance Regulation concerning insurers and other risk bearing entities, including licensing, rates, policy forms, market conduct, claims, adjusters, issuance of certificates of authority, solvency, viatical settlements, premium financing, and administrative supervision, as provided under the Insurance Code or Chapter 636, F.S., and matters related to rulemaking for all activities of the Office of Financial Regulation relating to the regulation of banks, credit unions, other financial institutions, finance companies, retail installment sales providers, title loan lenders, collection agencies, mortgage brokers, mortgage lenders, certified capital companies, money services businesses, and the securities industry.

The Department of Veterans' Affairs will take action on matters duly presented on its agenda which may include the administration of the Department as well as actions taken to further the Department's mission of providing assistance to veterans and their dependents, pursuant to Section 292.05, F.S. The Department of Highway Safety and Motor Vehicles will take action on matters duly presented on its agenda, which may include such matters as approval of agency policies, taking agency action with regard to administrative procedure matters, and considering other matters within its authority pursuant to Florida Statutes.

The Department of Law Enforcement will take action on matters duly presented on its agenda which may include but not be limited to such matters as transfer of agency funds or positions, formulation of Departmental Rules, administrative procedure matters, submittal of reports as required, enter into contracts as authorized and to consider other matters within its authority pursuant to Chapters 20, 23, 120 and 943, F.S.

The Department of Revenue will act on matters duly presented on its agenda which may include approval of rules, legislative concept proposals, contracts over \$100,000, Departmental budgets, administrative procedure matters, and consideration of other matters within its authority.

The Administration Commission will take action on matters duly presented on its agenda which may include such matters as to create or transfer agency funds or positions, approve Career Service rules, administrative procedure matters, environmental matters arising under Chapter 380, F.S., comprehensive planning issues pursuant to Section 163.3184, F.S., determine sheriffs' budget matters, and consider other matters within its authority pursuant to various statutes including Chapters 110, 215 and 216, F.S.

The Florida Land and Water Adjudicatory Commission will take action on matters duly presented on its agenda including appeals of local government development orders in areas of critical state concern or of developments of regional impact under Section 380.07, F.S.; and review of water management matters under Chapter 373, F.S. The Commission will also review Department of Environmental Protection's rules and orders which, prior to July 1, 1993, the Governor and Cabinet, sitting as the head of the Department of Natural Resources, had authority to issue or promulgate.

The Board of Trustees of the Internal Improvement Trust Fund will take action on matters for which it is responsible pursuant to law (including duties pursuant to Title 18 of the Florida Statutes and Title 18 of the Florida Administrative Code) and that are duly presented on its agenda, which may include such matters as aquacultural issues as presented by the Division of Aquaculture in the Department of Agriculture and Consumer Services; mineral leases or sales; state or sovereign land leases, sales, exchanges, dedications, and easements; conservation and preservation lands and other land purchases; land planning matters and other matters within its authority.

The Department of Environmental Protection will present for consideration those matters required by law to be reviewed by the Governor and Cabinet, sitting as the Siting Board, which may include, but are not limited to siting of power plants and electric and natural gas transmission lines.

A copy of any of the above agendas submitted to the Governor and Cabinet for this meeting may be obtained by viewing the website of the Governor and Cabinet at <http://www.myflorida.com/myflorida/cabinet/> or by contacting each individual agency.

Pursuant to the provisions of the Americans with Disabilities Act, any person requiring special accommodations to participate in this meeting is asked to provide at least 48 hours' notification before the meeting by contacting: the Governor's Cabinet Affairs Office, (850)488-5152.

CABINET AIDES BRIEFING: On the Wednesday of the week prior to the above meeting, there will be a meeting of the aides to the Governor and Cabinet Members at 9:00 a.m., Cabinet Meeting Room, Lower Level, The Capitol, Tallahassee.

REGIONAL PLANNING COUNCILS

Central Florida Regional Planning Council

The Heartland Regional Transportation Planning Organization (HRTPO) announces a public meeting to which all persons are invited.

DATE AND TIME: August 29, 2019, 2:30 p.m.

PLACE: CareerSource Heartland, 5901 US Hwy 27 South, Suite 1, Sebring, FL

GENERAL SUBJECT MATTER TO BE CONSIDERED: Regular meeting of the Heartland Regional Transportation Planning Organization (HRTPO) Citizens Advisory Committee (CAC).

A copy of the agenda may be obtained by contacting: Marybeth Soderstrom, Community and Mobility Manager at 1(863)534-7130 ext. 134 or msoderstrom@cfrpc.org.

Pursuant to the provisions of the Americans with Disabilities Act, any person requiring special accommodations to participate in this workshop/meeting is asked to advise the agency at least 3 days before the workshop/meeting by contacting: Marybeth Soderstrom, Community and Mobility Manager at 1(863)534-7130 ext. 134 or msoderstrom@cfrpc.org. If you are hearing or speech impaired, please contact the agency using the Florida Relay Service, 1(800)955-8771 (TDD) or 1(800)955-8770 (Voice).

If any person decides to appeal any decision made by the Board with respect to any matter considered at this meeting or hearing, he/she will need to ensure that a verbatim record of the proceeding is made, which record includes the testimony and evidence from which the appeal is to be issued.

REGIONAL UTILITY AUTHORITIES

Tampa Bay Water - A Regional Water Supply Authority

The TAMPA BAY WATER, A REGIONAL WATER SUPPLY AUTHORITY announces a public meeting to which all persons are invited.

DATE AND TIME: September 9, 2019, 3:00 p.m. – 4:00 p.m. or until completed.

PLACE: Tampa Bay Water's Administrative Offices, 2575 Enterprise Road, Clearwater, FL 33763

GENERAL SUBJECT MATTER TO BE CONSIDERED: A public meeting of the Selection Committee for the Planning and Systems Decision Support As-Needed Consultant Professional Services for FY 2020 to 2024, CONTRACT Nos.: 2020-017 thru 019. As a part of the selection process, the Selection Committee will meet to review and discuss the responses and ranking of the firms, determine if interviews are needed and review potential interview questions.

A copy of the agenda may be obtained by contacting: Records Department at (727)796-2355.

Pursuant to the provisions of the Americans with Disabilities Act, any person requiring special accommodations to participate in this workshop/meeting is asked to advise the agency at least 3 days before the workshop/meeting by contacting: Records Department at (727)796-2355. If you are hearing or speech impaired, please contact the agency using the Florida Relay Service, 1(800)955-8771 (TDD) or 1(800)955-8770 (Voice).

For more information, you may contact: Records Department at (727)796-2355.

REGIONAL UTILITY AUTHORITIES

Tampa Bay Water - A Regional Water Supply Authority
 The TAMPA BAY WATER, A REGIONAL WATER SUPPLY AUTHORITY announces a public meeting to which all persons are invited.

DATE AND TIME: September 5, 2019, 10:00 a.m. – 11:00 a.m., or until completed.

PLACE: Tampa Bay Water Administrative Offices, 2575 Enterprise Road, Clearwater, FL 33763.

GENERAL SUBJECT MATTER TO BE CONSIDERED: A public meeting of the Selection Committee for Regional Demand Management Program Administrator, Contract No.: 2020-010. As a part of the selection process, the Selection Committee will meet to review and discuss the responses and ranking of the firms, determine if interviews are needed and review potential interview questions.

A copy of the agenda may be obtained by contacting: Records Department, (727)796-2355.

Pursuant to the provisions of the Americans with Disabilities Act, any person requiring special accommodations to participate in this workshop/meeting is asked to advise the agency at least 3 days before the workshop/meeting by contacting: Records Department, (727)791-2392. If you are hearing or speech impaired, please contact the agency using the Florida Relay Service, 1(800)955-8771 (TDD) or 1(800)955-8770 (Voice).

For more information, you may contact: Records Department, (727)791-2392.

DEPARTMENT OF BUSINESS AND PROFESSIONAL REGULATION

Board of Architecture and Interior Design
 The Board of Architecture and Interior Design announces a telephone conference call to which all persons are invited.

DATE AND TIME: September 5, 2019, 10:00 a.m. Eastern Time

PLACE: To participate in the Telephone Conference Call, contact 1(888)585-9008, participant pass code 241687833.

GENERAL SUBJECT MATTER TO BE CONSIDERED: General Business

A copy of the agenda may be obtained by contacting: Board of Architecture and Interior Design, 2601 Blair Stone Road, Tallahassee, Florida 32399-0751, Telephone (850)717-1982.

Pursuant to the provisions of the Americans with Disabilities Act, any person requiring special accommodations to participate in this workshop/meeting is asked to advise the agency at least 5 days before the workshop/meeting by contacting: Board of Architecture and Interior Design, 2601 Blair Stone Road, Tallahassee, Florida 32399-0751, Telephone (850)717-1982. If you are hearing or speech impaired, please contact the agency using the Florida Relay Service, 1(800)955-8771 (TDD) or 1(800)955-8770 (Voice).

If any person decides to appeal any decision made by the Board with respect to any matter considered at this meeting or hearing, he/she will need to ensure that a verbatim record of the proceeding is made, which record includes the testimony and evidence from which the appeal is to be issued.

For more information, you may contact: Board of Architecture and Interior Design, 2601 Blair Stone Road, Tallahassee, Florida 32399-0751, Telephone (850)717-1982.

DEPARTMENT OF ENVIRONMENTAL PROTECTION

Division of Recreation and Parks
 The Florida Department of Environmental Protection, Division of Recreation and Parks, announces a public meeting to which all persons are invited.

DATE AND TIMES: Thursday, August 22, 2019, 6:00 p.m. – 8:00 p.m. CT, Presentation at 6:30 p.m.

PLACE: Northwest Florida State College, South Walton Campus, 109 Greenway Trail, Santa Rosa Beach, Florida 32459

GENERAL SUBJECT MATTER TO BE CONSIDERED: An opportunity for the public to provide input on the ten-year management plan update for Topsail Hill Preserve State Park.

A copy of the agenda may be obtained by contacting: Sasha Craft, Park Manager, Topsail Hill Preserve State Park, 7525 West Scenic Highway 30A, Santa Rosa Beach, Florida 32459, PH# (850)267-8330, FAX# (850)267-9014 or email Sasha.Craft@floridadep.gov.

Pursuant to the provisions of the Americans with Disabilities Act, any person requiring special accommodations to participate in this workshop/meeting is asked to advise the agency at least 48 hours before the workshop/meeting by contacting: Sasha Craft, as listed above. If you are hearing or speech impaired, please contact the agency using the Florida Relay Service, 1(800)955-8771 (TDD) or 1(800)955-8770 (Voice).

DEPARTMENT OF ENVIRONMENTAL PROTECTION

Division of State Lands
 RULE NO.: RULE TITLE:
 62Q-15.013 Management and Sale of RICO Lands (Repealed)

The Fisheating Creek Settlement Advisory Board (SAAB) announces a public meeting to which all persons are invited.

DATE AND TIME: August 22, 2019, 10:00 a.m. – 12:00 Noon

PLACE: Glades County Community Development Department, 198 6th St., Moore Haven, FL 33471

GENERAL SUBJECT MATTER TO BE CONSIDERED:

1. Call to Order
2. Introduction and confirmation of FEC SAAB Representatives
3. Introduction of others in attendance
4. Review of SAAB Charter and purpose
5. Approval/amendments of DRAFT Agenda
6. Approval of DRAFT Minutes – July 19, 2018
7. Manager’s report: Holli Nichols, FWC
 - Campground
 - Hurricane Irma recovery
 - Cowbone Marsh
 - Enforcement Actions in the Wildlife Management Area
 - Visitor Count
 - Prescribed burns
 - Exotic Vegetation Treatment
 - Clogged waterways
 - Signage Changes
 - Harvest Information
 - Wildlife Surveys
8. Election of new officers: Chair, Co-chair, Secretary
9. New Business/Public Input/Announcements
10. Next Meeting – Date and location

Adjournment

A copy of the agenda may be obtained by contacting: Paul N. Gray, Ph.D., Science Coordinator, Everglades Restoration Program, Audubon Florida, PO Box 707, Lorida, FL 33857, 1(863)655-1831 office.

Pursuant to the provisions of the Americans with Disabilities Act, any person requiring special accommodations to participate in this workshop/meeting is asked to advise the agency at least 2 days before the workshop/meeting by contacting: Paul N. Gray, Ph.D., Science Coordinator, Everglades Restoration Program, Audubon Florida, PO Box 707, Lorida, FL 33857, 1(863)655-1831 office. If you are hearing or speech impaired, please contact the agency using the Florida Relay Service, 1(800)955-8771 (TDD) or 1(800)955-8770 (Voice).

DEPARTMENT OF HEALTH

Board of Chiropractic Medicine

The Department of Health announces a public meeting to which all persons are invited.

DATE AND TIME: August 23, 2019, 8:30 a.m.

PLACE: Hyatt Regency, 9801 International Drive, Orlando, Florida 32819

GENERAL SUBJECT MATTER TO BE CONSIDERED: General board business, to include licensure and discipline.

A copy of the agenda may be obtained by contacting: <https://floridaschiropracticmedicine.gov/meeting-information/>.

Pursuant to the provisions of the Americans with Disabilities Act, any person requiring special accommodations to participate in this workshop/meeting is asked to advise the agency at least 7 days before the workshop/meeting by contacting: If you are hearing or speech impaired, please contact the agency using the Florida Relay Service, 1(800)955-8771 (TDD) or 1(800)955-8770 (Voice).

If any person decides to appeal any decision made by the Board with respect to any matter considered at this meeting or hearing, he/she will need to ensure that a verbatim record of the proceeding is made, which record includes the testimony and evidence from which the appeal is to be issued.

For more information, you may contact: Anthony.Spivey@flhealth.gov.

DEPARTMENT OF HEALTH

Board of Clinical Laboratory Personnel

The Clinical Laboratory Personnel announces a telephone conference call to which all persons are invited.

DATE AND TIME: September 6, 2019, 9:00 a.m.

PLACE: 1(888)585-9008, 136-103-141 participant call

GENERAL SUBJECT MATTER TO BE CONSIDERED: General board business

A copy of the agenda may be obtained by contacting: <https://floridasclinicallabs.gov/>.

Pursuant to the provisions of the Americans with Disabilities Act, any person requiring special accommodations to participate in this workshop/meeting is asked to advise the agency at least 7 days before the workshop/meeting by contacting: If you are hearing or speech impaired, please contact the agency using the Florida Relay Service, 1(800)955-8771 (TDD) or 1(800)955-8770 (Voice).

If any person decides to appeal any decision made by the Board with respect to any matter considered at this meeting or hearing, he/she will need to ensure that a verbatim record of the proceeding is made, which record includes the testimony and evidence from which the appeal is to be issued.

For more information, you may contact: Anthony.Spivey@flhealth.gov.

DEPARTMENT OF HEALTH

Board of Medicine

The Boards of Medicine and Osteopathic Medicine’s Physician Certification Pattern Review Panel announces a telephone conference call to which all persons are invited.

DATE AND TIME: Thursday, August 29, 2019, 12:00 Noon

PLACE: Department of Health Meet-Me #: 1(888)585-9008, Participation Code: 432-162-565

GENERAL SUBJECT MATTER TO BE CONSIDERED: General business of the Panel. Please check the Board website at <https://flboardofmedicine.gov/meeting-information/> or <https://floridasosteopathicmedicine.gov/meeting-information/> for cancellations or changes to meeting dates or call the Board of Medicine at (850)245-4131 or the Board of Osteopathic Medicine at (850)245-4161 for information.

A copy of the agenda may be obtained by contacting: Board of Medicine (BOM) Meeting Materials at <https://flboardofmedicine.gov/meeting-information/> or Board of Osteopathic Medicine (BOOM)

Meeting Materials at <https://floridasosteopathicmedicine.gov/meeting-information/>.

Pursuant to the provisions of the Americans with Disabilities Act, any person requiring special accommodations to participate in this workshop/meeting is asked to advise the agency at least 10 days before the workshop/meeting by contacting: BOM Meeting Materials at BOM.MeetingMaterials@flhealth.gov or call at (850)245-4131. If you are hearing or speech impaired, please contact the agency using the Florida Relay Service, 1(800)955-8771 (TDD) or 1(800)955-8770 (Voice).

If any person decides to appeal any decision made by the Board with respect to any matter considered at this meeting or hearing, he/she will need to ensure that a verbatim record of the proceeding is made, which record includes the testimony and evidence from which the appeal is to be issued.

For more information, you may contact: BOM Meeting Materials at BOM.MeetingMaterials@flhealth.gov or call at (850)245-4131.

DEPARTMENT OF HEALTH

Division of Children's Medical Services

The Child Abuse Death Review Circuit 12B Committee(Sarasota/DeSoto) announces a public meeting to which all persons are invited.

DATE AND TIME: October 11, 2019, 1:00 p.m. – 3:00 p.m.

PLACE: Department of Health, 2200 Ringling Blvd, Room 226, Sarasota, FL 34237

GENERAL SUBJECT MATTER TO BE CONSIDERED: The Committee will address administrative issues, review cases, and discuss the CADR Action Plan. A portion of the meeting is required by subsection 383.412(3)(a), F.S. to be closed to the public to allow the Committee to discuss information that is confidential and exempt from public meetings and public records. This portion of the meeting will be announced at the meeting.

A copy of the agenda may be obtained by contacting: Laura McIntyre: laura.mcintyre@flhealth.gov.

Pursuant to the provisions of the Americans with Disabilities Act, any person requiring special accommodations to

participate in this workshop/meeting is asked to advise the agency at least 7 days before the workshop/meeting by contacting: Laura McIntyre: laura.mcintyre@flhealth.gov. If you are hearing or speech impaired, please contact the agency using the Florida Relay Service, 1(800)955-8771 (TDD) or 1(800)955-8770 (Voice).

For more information, you may contact: Laura McIntyre: laura.mcintyre@flhealth.gov.

DEPARTMENT OF CHILDREN AND FAMILIES

The Department of Children and Families (DCF), Office of Child Welfare announces a public meeting to which all persons are invited.

DATE AND TIME: Debriefing Meeting, August 22, 2019, 2:00 p.m. ET

PLACE: 1317 Winewood Blvd., Bldg 1, Suite 301-G, Tallahassee FL 32399

GENERAL SUBJECT MATTER TO BE CONSIDERED: DCF Request for Proposal (RFP) #052019DB1 Children Abuse and Prevention Treatment Act (CAPTA) – Home Visitation for Substance-Affected Infants and their Families. The RFP was advertised on the DMS Vendor Bid System Electronic Posting Site,

http://www.myflorida.com/apps/vbs/vbs_www.main_menu.

Evaluation Team Debriefing Agenda

1. Introductions
2. Purpose
3. Validation of evaluators & ranking of proposals
4. Other agenda items

NOTE: Meeting will end when business is concluded.

A copy of the agenda may be obtained by contacting: Jessica Koburger, Procurement Manager at Jessica.Koburger@myflfamilies.com or (850)717-4393.

Pursuant to the provisions of the Americans with Disabilities Act, any person requiring special accommodations to participate in this workshop/meeting is asked to advise the agency at least 5 days before the workshop/meeting by contacting: Jessica Koburger, Procurement Manager at Jessica.Koburger@myflfamilies.com or (850)717-4393. If you are hearing or speech impaired, please contact the agency using the Florida Relay Service, 1(800)955-8771 (TDD) or 1(800)955-8770 (Voice).

For more information, you may contact: Jessica Koburger, Procurement Manager at Jessica.Koburger@myflfamilies.com or (850)717-4393.

FISH AND WILDLIFE CONSERVATION COMMISSION

The Florida Fish and Wildlife Conservation Commission announces a public meeting to which all persons are invited.

DATE AND TIME: August 29, 2019, 1:00 p.m.

PLACE: Teleconference only. Dial (712)770-5108 and use participant access code 166264#.

GENERAL SUBJECT MATTER TO BE CONSIDERED: Discussion of proposals submitted in response to the 2019 Announcement of Florida’s State Wildlife Grants Cycle. For more information contact Andrea Alden, Fish and Wildlife Conservation Commission, State Wildlife Grants Coordinator at (850)617-9558.

A copy of the agenda may be obtained by contacting: n/a Pursuant to the provisions of the Americans with Disabilities Act, any person requiring special accommodations to participate in this workshop/meeting is asked to advise the agency at least 5 days before the workshop/meeting by contacting: The ADA Coordinator at (850)488-6411. If you are hearing or speech impaired, please contact the agency using the Florida Relay Service, 1(800)955-8771 (TDD) or 1(800)955-8770 (Voice).

DEPARTMENT OF FINANCIAL SERVICES

OIR – Insurance Regulation

RULE NOS.:RULE TITLES:

69O-186.013 Title Insurance Statistical Gathering: Licensed Agencies and Florida Retail Officers of Direct-Writing Title Insurance Underwriters

69O-186.014 Title Insurance Statistical Gathering-Title Insurance Underwriters

The Florida Office of Insurance Regulation announces a workshop to which all persons are invited.

DATE AND TIME: Thursday, August 22, 2019, 10:00 a.m.

PLACE: 116 Larson Building, 200 East Gaines Street, Tallahassee, Florida. To join by telephone, call (850)413-1558 and enter conference ID# 586899.

GENERAL SUBJECT MATTER TO BE CONSIDERED: The Office initiated a data call in 2014 regarding the collection of data for the adoption of title insurance rates pursuant to Sections 624.307 and 627.782, FS, and Chapter 69O-186.013-14, FAC. The purpose of this workshop is to review suggested amendments from both the Office and interested parties as the Office considers amending Rules 69O-186.013 and 69O-186.014, FAC.

A copy of the agenda may be obtained by contacting: Jeffrey Joseph, Assistant General Counsel, Jeffrey.Joseph@flor.com, (850)413-4294.

Pursuant to the provisions of the Americans with Disabilities Act, any person requiring special accommodations to participate in this workshop/meeting is asked to advise the agency at least 5 days before the workshop/meeting by contacting: Jeffrey Joseph, Assistant General Counsel, Jeffrey.Joseph@flor.com, (850)413-4294. If you are hearing or speech impaired, please contact the agency using the Florida

Relay Service, 1(800)955-8771 (TDD) or 1(800)955-8770 (Voice).

For more information, you may contact: Jeffrey Joseph, Assistant General Counsel, Jeffrey.Joseph@flor.com, (850)413-4294.

DEPARTMENT OF ECONOMIC OPPORTUNITY

Division of Workforce Services

The Reemployment Assistance Appeals Commission announces a public meeting to which all persons are invited.

DATE AND TIME: August 21, 2019, 9:30 a.m.

PLACE: Reemployment Assistance Appeals Commission, 101 Rhyne Building, 2740 Centerview Drive, Tallahassee, Florida 32399-4151.

GENERAL SUBJECT MATTER TO BE CONSIDERED: Deliberation for cases pending before the Reemployment Assistance Appeals Commission that are ready for final review and the Chairman’s report. No public testimony will be taken.

A copy of the agenda may be obtained by contacting: Reemployment Assistance Appeals Commission, 101 Rhyne Building, 2740 Centerview Drive, Tallahassee, Florida 32399-4151, (850)487-2685.

Pursuant to the provisions of the Americans with Disabilities Act, any person requiring special accommodations to participate in this workshop/meeting is asked to advise the agency at least 24 hours before the workshop/meeting by contacting: Reemployment Assistance Appeals Commission, 101 Rhyne Building, 2740 Centerview Drive, Tallahassee, Florida 32399-4151, (850)487-2685. If you are hearing or speech impaired, please contact the agency using the Florida Relay Service, 1(800)955-8771 (TDD) or 1(800)955-8770 (Voice).

For more information, you may contact: Reemployment Assistance Appeals Commission, 101 Rhyne Building, 2740 Centerview Drive, Tallahassee, Florida 32399-4151, (850)487-2685.

MOFFITT CANCER CENTER & RESEARCH INSTITUTE

The H. Lee Moffitt Cancer Center and Research Institute, Inc. announces a public meeting to which all persons are invited.

DATE AND TIME: August 27, 2019, 1:00 p.m. – 2:30 p.m.

PLACE: Moffitt Cancer Center, Stabile Research Building Trustees Boardroom

GENERAL SUBJECT MATTER TO BE CONSIDERED: To conduct the general business of the board of directors.

A copy of the agenda may be obtained by contacting: Kim Chewning at 1(813)745-3229, 12902 Magnolia Drive, SRB-OGC, Tampa, FL 33612

Pursuant to the provisions of the Americans with Disabilities Act, any person requiring special accommodations to participate in this workshop/meeting is asked to advise the agency at least 3 days before the workshop/meeting by contacting: Kim Chewning. If you are hearing or speech impaired, please contact the agency using the Florida Relay Service, 1(800)955-8771 (TDD) or 1(800)955-8770 (Voice).

FLORIDA COLLEGE SYSTEM RISK MANAGEMENT CONSORTIUM

The Florida College System Risk Management Consortium announces a public meeting to which all persons are invited.

DATE AND TIME: Friday, August 16, 2019, 9:00 a.m.

PLACE: The Renaissance Hotel Orlando Airport

GENERAL SUBJECT MATTER TO BE CONSIDERED: General Business Meeting

A copy of the agenda may be obtained by contacting: FCSRMC, 4500 NW 27th Ave. B-2, Gainesville, FL 32606

Pursuant to the provisions of the Americans with Disabilities Act, any person requiring special accommodations to participate in this workshop/meeting is asked to advise the agency at least 1 days before the workshop/meeting by contacting: If you are hearing or speech impaired, please contact the agency using the Florida Relay Service, 1(800)955-8771 (TDD) or 1(800)955-8770 (Voice).

For more information, you may contact: FCSRMC, 4500 NW 27th Ave. B-2, Gainesville, FL 32606.

INFINITE SOURCE COMMUNICATIONS GROUP, LLC

The Florida Department of Transportation announces a public meeting to which all persons are invited.

DATE AND TIME: August 15, 2019, 6:00 p.m. – 8:00 p.m.

PLACE: Juan Pablo Duarte Park, 1776 NW 28 Street, Miami, FL 33142

GENERAL SUBJECT MATTER TO BE CONSIDERED: Due to unforeseen circumstances, the Florida Department of Transportation (FDOT) District Six has postponed the Public Meeting scheduled for Thursday August 15, 2019 from 6:00 p.m. – 8:00 p.m. at the Juan Pablo Duarte Park, 1776 NW 28 Street, Miami, FL 33142. The meeting will be rescheduled at a later date.

For more information, you may contact: Community Outreach Specialist Rodolfo Roman at (305)470-5477, email: Rodolfo.Roman@dot.state.fl.us.

A copy of the agenda may be obtained by contacting: NA

For more information, you may contact: Community Outreach Specialist Rodolfo Roman at (305)470-5477, email: Rodolfo.Roman@dot.state.fl.us.

THE CORRADINO GROUP, INC.

The Florida Department of Transportation (FDOT) District Four, announces a public meeting to which all persons are invited.

DATE AND TIME: Wednesday, August 28, 2019, 4:30 p.m. – 6:30 p.m.

PLACE: Robert Morgade Library, Anderson Community Room, 5851 SE Community Drive, Stuart, FL 34997

GENERAL SUBJECT MATTER TO BE CONSIDERED: The Florida Department of Transportation will host a public information meeting to provide details on the upcoming roadway construction project on US 1/SR 5 from south of SE Heritage Boulevard to north of SE Salerno Road in Martin County. Improvements being made as part of this project consist of milling and resurfacing of all travel lanes, turn lanes, and shoulders; widening the shoulders to accommodate 7-foot buffered bicycle lanes; addressing pavement failures at Cove Road and Salerno Road; upgrading sidewalk and pedestrian ramps to meet American with Disabilities Act (ADA) standards; upgrading signing and pavement markings; installing new pedestrian countdown signal heads at multiple signalized intersections; upgrading traffic controller cabinets at all signalized intersections; and installing lighting improvements at Salerno Road and Cove Road intersections. Construction will begin on September 16, 2019 and is estimated to be completed in spring 2021. The estimated construction cost is \$8,446,060.

This public information meeting will be an open house format with no formal presentation. Project staff will be available to answer questions regarding access to businesses and residential entrances, lane closures and other project related information.

A copy of the agenda may be obtained by contacting: There will be no agenda

Pursuant to the provisions of the Americans with Disabilities Act, any person requiring special accommodations to participate in this workshop/meeting is asked to advise the agency at least 7 days before the workshop/meeting by contacting: Tim Thomas, FDOT Project Manager, at (772)429-4887 or by email at tim.thomas@dot.state.fl.us. If you are hearing or speech impaired, please contact the agency using the Florida Relay Service, 1(800)955-8771 (TDD) or 1(800)955-8770 (Voice).

For more information, you may contact: Kathleen Dempsey, Community Outreach Specialist, at (772)359-5118 or by email at kdempsey@corradino.com.

Section VII
Notice of Petitions and Dispositions
Regarding Declaratory Statements

NONE

Section VIII
Notice of Petitions and Dispositions
Regarding the Validity of Rules

Notice of Petition for Administrative Determination has been filed with the Division of Administrative Hearings on the following rules:

NONE

Notice of Disposition of Petition for Administrative Determination has been filed with the Division of Administrative Hearings on the following rules:

NONE

Section IX
Notice of Petitions and Dispositions
Regarding Non-rule Policy Challenges

NONE

Section X
Announcements and Objection Reports of
the Joint Administrative Procedures
Committee

NONE

Section XI
Notices Regarding Bids, Proposals and
Purchasing

FISH AND WILDLIFE CONSERVATION COMMISSION
 FWC 19/20-11C: East Lake Tohopekaliga Habitat Enhancement

BID NO: FWC 19/20-11C

TITLE: East Lake Tohopekaliga Habitat Enhancement

The intent of this Invitation to Bid (ITB) is to obtain competitive pricing for enhancements to the East Lake

Tohopekaliga habitat, in accordance with the contract documents and Chapter 255 of the Florida Statutes.

SEALED BIDS WILL BE PUBLICLY OPENED AND READ ALOUD

BID OPENING DATE AND TIME: September 18, 2019, 10:30 a.m.

BID OPENING LOCATION: Florida Fish & Wildlife Conservation Commission, 2590 Executive Center Circle East, Suite 100, Tallahassee, Florida 32301

To review the bid details for FWC 19/20-11C:

- Visit http://www.myflorida.com/apps/vbs/vbs_www.pui?pui=7700 to view a list of FWC’s formal solicitations and agency decisions.
- Choose the FWC 19/20-11C solicitation link to view the advertisement details.
- From the Advertisement Details page, you can download the PDF bid file for your reference.
- If the link doesn’t take you directly to the project listing, you can manually search for it by:
- Visit http://www.myflorida.com/apps/vbs/vbs_www.main_menu.
- Select Search Advertisements.
- Choose FL Fish and Wildlife Conservation Commission from the Agency dropdown box.
- Click the Advertisement Search button.
- Choose the FWC 19/20-11C solicitation link to view the advertisement details.
- From the Advertisement Details page, you can download the PDF bid file for your reference.

NOTE: The Vendor Bid System (link provided above) is the posting location for all new and changing information regarding this solicitation. Interested bidders should continue to monitor this site for the entirety of the solicitation process.

For an electronic copy of construction plans and all other associated documents:

1. Visit <https://explorer.myflorida.com>
 2. Login using the following credentials:
 - o Username: FWC_Bid_Info
 - o Password: FWCvendors1!
 3. Select FWC_Bids
 4. Find the folder named FWC 1920-11C – East Lake Toho Habitat Enhancement
 5. Download all files contained in the folder
- Direct all questions to the Procurement Manager: Alisha Morgan, Procurement Manager, Florida Fish & Wildlife Conservation Commission, Tallahassee Purchasing Office, 2590 Executive Center Circle, Tallahassee, Florida 32301, Phone: (850)488-6551, alisha.morgan@myfwc.com.

**Section XII
Miscellaneous**

DEPARTMENT OF STATE

Index of Administrative Rules Filed with the Secretary of State Pursuant to subparagraph 120.55(1)(b)6. – 7., F.S., the below list of rules were filed in the Office of the Secretary of State between 3:00 p.m., Tuesday, August 6, 2019 and 3:00 p.m., Monday, August 12, 2019.

Rule No.	File Date	Effective Date
2A-2.002	8/9/2019	8/29/2019
12E-1.030	8/8/2019	8/28/2019
12E-1.036	8/8/2019	8/28/2019
12E-1.039	8/8/2019	8/28/2019
19B-4.001	8/9/2019	8/29/2019
19B-16.003	8/9/2019	8/29/2019
34-8.002	8/9/2019	1/1/2020
34-8.008	8/9/2019	1/1/2020
34-8.009	8/9/2019	1/1/2020
34-8.202	8/9/2019	1/1/2020
34-8.208	8/9/2019	1/1/2020
34-8.209	8/9/2019	1/1/2020
53ER19-48	8/8/2019	8/8/2019
53ER19-49	8/8/2019	8/8/2019
53ER19-50	8/8/2019	8/8/2019
53ER19-51	8/8/2019	8/8/2019
59A-9.029	8/9/2019	8/29/2019
61D-6.011	8/9/2019	8/29/2019
61G15-18.005	8/6/2019	8/26/2019
61G18-30.002	8/6/2019	8/26/2019
64B9-4.0025	8/8/2019	8/28/2019
65D-30.002	8/9/2019	8/29/2019
65D-30.003	8/9/2019	8/29/2019
65D-30.0031	8/9/2019	8/29/2019

65D-30.0032	8/9/2019	8/29/2019
65D-30.0033	8/9/2019	8/29/2019
65D-30.0034	8/9/2019	8/29/2019
65D-30.0035	8/9/2019	8/29/2019
65D-30.0036	8/9/2019	8/29/2019
65D-30.0037	8/9/2019	8/29/2019
65D-30.0038	8/9/2019	8/29/2019
65D-30.004	8/9/2019	8/29/2019
65D-30.0041	8/9/2019	8/29/2019
65D-30.0042	8/9/2019	8/29/2019
65D-30.0043	8/9/2019	8/29/2019
65D-30.0044	8/9/2019	8/29/2019
65D-30.0045	8/9/2019	8/29/2019
65D-30.0046	8/9/2019	8/29/2019
65D-30.0047	8/9/2019	8/29/2019
65D-30.0048	8/9/2019	8/29/2019
65D-30.0049	8/9/2019	8/29/2019
65D-30.005	8/9/2019	8/29/2019
65D-30.006	8/9/2019	8/29/2019
65D-30.0061	8/9/2019	8/29/2019
65D-30.007	8/9/2019	8/29/2019
65D-30.0081	8/9/2019	8/29/2019
65D-30.009	8/9/2019	8/29/2019
65D-30.0091	8/9/2019	8/29/2019
65D-30.010	8/9/2019	8/29/2019
65D-30.011	8/9/2019	8/29/2019
65D-30.012	8/9/2019	8/29/2019
65D-30.013	8/9/2019	8/29/2019
LIST OF RULES AWAITING LEGISLATIVE APPROVAL SECTIONS 120.541(3), 373.139(7) AND/OR 373.1391(6), FLORIDA STATUTES		
Rule No.	File Date	Effective Date

60FF1-5.009	7/21/2016	**/**/****
64B8-10.003	12/9/2015	**/**/****
69L-3.009	12/5/2018	**/**/****

**AGENCY FOR HEALTH CARE ADMINISTRATION
Medicaid**

Familial Dysautonomia (FD) Waiver Renewal Request
The Agency for Health Care Administration (Agency) is submitting a request to renew the Familial Dysautonomia (FD) Waiver, which operates under the authority of Section 1915(c) of the Social Security Act, to the Centers for Medicare & Medicaid Services (CMS). The Agency is providing public notice of the 30-day public comment period as specified in 42 CFR 441.304(f) to solicit meaningful input from recipients, providers, and all stakeholders on the renewal request prior to submission to CMS.

SUMMARY DESCRIPTION OF RENEWAL REQUEST: Significant changes to the approved waiver that are being made in the renewal application include:

- An update to performance measures and/or the applicable remediations in Appendices A, B, C, and D
- Updated language to clarify training activities allowed under Non-Residential Support Services
- Clarified coverage requirements when participants receive services through a Medicaid dental plan
- Updated Fair Hearing contact information
- Updated Appendix J/Derivation of Estimates
- Updated Derivation of Estimates and the CPI rate to reflect the most current rate

To view the full description of the proposed renewal request, please see the public notice documents published on the Agency’s Web site at the following link: http://www.ahca.myflorida.com/Medicaid/hcbs_waivers/ibudg et.shtml

PUBLIC NOTICE AND PUBLIC COMMENT PERIOD: The Agency will conduct a 30-day public notice and comment period prior to the submission of the proposed renewal request to the CMS. The Agency will consider all public comments received regarding the proposed renewal request. The 30-day public notice and public comment period is from August 13, 2019 through September 11, 2019. This public notice and public comment period is being held to solicit public input from recipients, providers, and all stakeholders and interested parties. When submitting comments, please include “Proposed Renewal to 1915(c) FD Waiver” in the subject line:

- Submit email comments to FLMedicaidWaivers@ahca.myflorida.com.

- Submit comments by mail to Bureau of Medicaid Policy, Agency for Health Care Administration, 2727 Mahan Drive, MS 20, Tallahassee, Florida 32308.

For more information, you may contact: Etasha Gonzalez at (850)412-4261 or FLMedicaidWaivers@ahca.myflorida.com. If you are hearing or speech impaired, please contact the agency using the Florida Relay Service, 1(800)955-8771 (TDD) or 1(800)955-8770 (Voice).

**DEPARTMENT OF ENVIRONMENTAL PROTECTION
Drinking Water State Revolving Fund
NOTICE OF AVAILABILITY**

**FLORIDA CATEGORICAL EXCLUSION NOTICE
LAKE COMO WATER ASSOCIATION**

The Florida Department of Environmental Protection (DEP) has determined that the Lake Como Water Association’s project that includes rehabilitation of a 35,000 gallon elevated storage tank is not expected to generate controversy over potential environmental effects. The total estimated construction cost is \$125,000. The project may qualify for a Drinking Water State Revolving Fund loan composed of federal and state funds. DEP will consider public comments about the environmental impacts of the proposed project that are postmarked or delivered at the address below within 30 days of this notice. A full copy of the Florida Categorical Exclusion Notice can be obtained by writing to: Michael Chase, Project Manager, SRF Program, Department of Environmental Protection, 3900 Commonwealth Blvd., MS #3505, Tallahassee, Florida 32399 or calling (850)245-2913 or emailing to Raymond.Chase@FloridaDEP.gov.

**Section XIII
Index to Rules Filed During Preceding
Week**

**INDEX TO RULES FILED BETWEEN
AUGUST 5, 2019 AND AUGUST 9, 2019**

Rule No.	File Date	Effective Date	Proposed Vol./No.	Amended Vol./No.
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**DEPARTMENT OF LEGAL AFFAIRS
Division of Victim Services and Criminal Justice Programs**
2A-2.002 8/9/2019 9/1/2019 45/135

**DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES
Division of Animal Industry**
5C-16.001 8/5/2019 8/25/2019 45/97
5C-16.021 8/5/2019 8/25/2019 45/97

DEPARTMENT OF REVENUE					65D-30.003	8/9/2019	8/29/2019	43/250	44/207
Division of Child Support Enforcement					65D-30.0031	8/9/2019	8/29/2019	43/250	44/207
12E-1.030	8/8/2019	8/28/2019	45/111	45/129					45/123
12E-1.036	8/8/2019	8/28/2019	45/111	45/129	65D-30.0032	8/9/2019	8/29/2019	43/250	44/207
12E-1.039	8/8/2019	8/28/2019	45/111	45/129					45/123
					65D-30.0033	8/9/2019	8/29/2019	43/250	44/207
									45/123
STATE BOARD OF ADMINISTRATION					65D-30.0034	8/9/2019	8/29/2019	43/250	44/207
Florida Prepaid College Board									45/123
19B-4.001	8/9/2019	8/29/2019	45/94		65D-30.0035	8/9/2019	8/29/2019	43/250	44/207
19B-16.003	8/9/2019	8/29/2019	45/94						45/123
COMMISSION ON ETHICS					65D-30.0036	8/9/2019	8/29/2019	43/250	44/207
34-8.002	8/9/2019	1/1/2020	45/124						45/123
34-8.008	8/9/2019	1/1/2020	45/124		65D-30.0037	8/9/2019	8/29/2019	43/250	44/207
34-8.009	8/9/2019	1/1/2020	45/124						45/123
34-8.202	8/9/2019	1/1/2020	45/124		65D-30.0038	8/9/2019	8/29/2019	43/250	44/207
34-8.208	8/9/2019	1/1/2020	45/124						45/123
34-8.209	8/9/2019	1/1/2020	45/124		65D-30.004	8/9/2019	8/29/2019	43/250	44/207
									45/123
DEPARTMENT OF THE LOTTERY					65D-30.0041	8/9/2019	8/29/2019	43/250	44/207
53ER19-48	8/8/2019	8/8/2019	45/155		65D-30.0042	8/9/2019	8/29/2019	43/250	44/207
53ER19-49	8/8/2019	8/8/2019	45/155						45/123
53ER19-50	8/8/2019	8/8/2019	45/155		65D-30.0043	8/9/2019	8/29/2019	43/250	44/207
53ER19-51	8/8/2019	8/8/2019	45/155		65D-30.0044	8/9/2019	8/29/2019	43/250	44/207
									45/123
AGENCY FOR HEALTH CARE ADMINISTRATION					65D-30.0045	8/9/2019	8/29/2019	43/250	44/207
Health Facility and Agency Licensing					65D-30.0046	8/9/2019	8/29/2019	43/250	44/207
59A-9.029	8/9/2019	8/29/2019	45/115						45/123
					65D-30.0047	8/9/2019	8/29/2019	43/250	44/207
DEPARTMENT OF BUSINESS AND PROFESSIONAL REGULATION					65D-30.0048	8/9/2019	8/29/2019	43/250	
Division of Pari-Mutuel Wagering					65D-30.0049	8/9/2019	8/29/2019	43/250	44/207
61D-6.011	8/9/2019	8/29/2019	45/121		65D-30.005	8/9/2019	8/29/2019	43/250	44/207
									45/123
Board of Professional Engineers					65D-30.006	8/9/2019	8/29/2019	43/250	44/207
61G15-18.005	8/6/2019	8/26/2019	45/125						45/123
					65D-30.0061	8/9/2019	8/29/2019	43/250	44/207
									45/123
Board of Veterinary Medicine					65D-30.007	8/9/2019	8/29/2019	43/250	44/207
61G18-30.002	8/6/2019	8/26/2019	45/125						45/123
					65D-30.0081	8/9/2019	8/29/2019	43/250	44/207
									45/123
DEPARTMENT OF HEALTH					65D-30.009	8/9/2019	8/29/2019	43/250	44/207
Board of Massage					65D-30.0091	8/9/2019	8/29/2019	43/250	44/207
64B7-24.016	8/5/2019	8/25/2019	45/104						45/123
					65D-30.010	8/9/2019	8/29/2019	43/250	44/207
Board of Nursing					65D-30.011	8/9/2019	8/29/2019	43/250	44/207
64B9-4.0025	8/8/2019	8/28/2019	45/133						45/123
DEPARTMENT OF CHILDREN AND FAMILIES					65D-30.012	8/9/2019	8/29/2019	43/250	44/207
Substance Abuse Program									45/123
65D-30.002	8/9/2019	8/29/2019	43/250	44/207	65D-30.013	8/9/2019	8/29/2019	43/250	44/207
									45/123

**LIST OF RULES AWAITING LEGISLATIVE REVIEW/
APPROVAL PURSUANT TO SECTIONS 120.541(3),
373.139(7) AND/OR 373.1391(6), FLORIDA STATUTES**

DEPARTMENT OF MANAGEMENT SERVICES

E911 Board

60FF1-5.009 7/21/2016 **/**/**** 42/105

DEPARTMENT OF HEALTH

Board of Medicine

64B8-10.003 12/9/2015 **/**/**** 39/95 41/49

DEPARTMENT OF FINANCIAL SERVICES

Workers' Compensation Claims

69L-3.009 12/5/2018 **/**/**** 44/210

NOTE: The above section will be published on Tuesday beginning October 2, 2012, unless Monday is a holiday, then it will be published on Wednesday of that week.
