

**AGENDA
FINANCIAL SERVICES COMMISSION
OFFICE OF FINANCIAL REGULATION**

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April 14, 2015

MEMBERS

Governor Rick Scott
Attorney General Pam Bondi
Chief Financial Officer Jeff Atwater
Commissioner Adam Putnam

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9:00 A.M.
LL-03, The Capitol
Tallahassee, Florida

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John Kim
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ITEM	SUBJECT	RECOMMENDATION
1.	The Office requests approval of the minutes of the January 13, 2015 meeting. (ATTACHMENT 1)	FOR APPROVAL
2.	Financial Institutions: The Office requests approval to publish Notices of Proposed Rule to amend two rules in Chapter 69U, F.A.C., relating to regulation of financial institutions, to update materials incorporated by reference, and to strike a certain form filing requirement for credit unions: Rules for amendment: <ul style="list-style-type: none">• Examination Manuals and Referenced Standards: 69U-100.045• Filing of Appointments: 69U-110.021 (ATTACHMENT 2)	APPROVAL TO PUBLISH NOTICES OF PROPOSED RULE

3. **Securities:** The Office requests approval to file for final adoption amendments to seven rules, repeal of three rules, and two new proposed rules in Chapter 69W, F.A.C., relating to regulation of state-registered investment advisers and securities dealers:

Rules for amendment:

- General Industry Standards Incorporated by Reference: 69W-200.002
- Registration of Issuer Under Section 517.051(9), F.S., as Dealer: 69W-400.002
- Registration of Issuer Under Section 517.061(11), F.S., as Dealer: 69W-500.011
- Prohibited Business Practices for Investment Advisers and Their Associated Persons: 69W-600.0131
- Custody Requirements for Investment Advisers: 69W-600.0132
- Books and Records Requirements: 69W-600.014
- Disciplinary Guidelines for Dealers, Investment Advisers and Associated Persons: 69W-1000.001

Rules for repeal:

- Financial Statements and Reports: 69W-300.002
- Financial Reporting Requirements – Statement of Financial Condition – Dealers and Investment Advisers: 69W-600.015
- Net Capital Requirements for Dealers and Investment Advisers: 69W-600.016

Proposed new rules:

- Net Capital and Financial Reporting Requirements for Dealers and Issuer/Dealers: 69W-600.0151
- Net Capital and Financial Reporting Requirements for Investment Advisers: 69W-600.0161

(ATTACHMENT 3)

APPROVAL FOR FINAL ADOPTION