

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

<http://www.flofr.com/Cabinet/PublicNotices.htm>

**January 26, 2010**

**MEMBERS**

Governor Charlie Crist  
Attorney General Bill McCollum  
Chief Financial Officer Alex Sink  
Commissioner Charlie Bronson

**Contact: Andrea Moreland (OFR)**  
**(850) 410-9601**

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

<b>ITEM</b>	<b>SUBJECT</b>	<b>RECOMMENDATION</b>
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| 1. | The Office requests approval of the minutes of the November 17, 2009, meeting. |  |
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**(ATTACHMENT 1)**

**FOR APPROVAL**

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| 2. | The Office requests approval to file for final adoption Rule 69W-600.0021, relating to the effect of law enforcement records on applications for registration as associated persons. |  |
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This is a new rule that applies to registration requirements for associated persons (stock brokers). The proposed rule imposes disqualifying periods pursuant to which an applicant will be disqualified from eligibility for registration based upon criminal convictions, pleas of nolo contendere, or pleas of guilt for crimes involving fraud, dishonesty, or any other act of moral turpitude.

**(ATTACHMENT 2)**

**APPROVAL FOR FINAL ADOPTION**