

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

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April 24, 2012

MEMBERS

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

Contact: Gigi Price (OFR)
(850) 410-9601

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

ITEM	SUBJECT	RECOMMENDATION
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1. The Office requests approval of the minutes of the March 20, 2012, meeting.

(ATTACHMENT 1)

FOR APPROVAL

2. The Office requests approval to file for adoption amendments to Rule Chapters 69T-1, 69W-600 and 69W-301.

Rule 69T-1.001, relating to the Office's organizational structure: The proposed amendments reflect changes to the Office's organizational structure to promote efficiency and accountability, including renaming organizational units to more accurately reflect their function and focus and consolidating two units in the finance area to streamline operations.

Rules 69W-600.002, .006, and Rule 69V-560.1012, relating to federal fingerprint processing fees: The proposed amendments implement reduced federal criminal history check fees by the U.S. Department of Justice, from \$19.25 to \$16.50. Rules 69W-600.002 and .006, F.A.C., (relating to securities regulation), and Rule 69V-560.1012, F.A.C., (relating money services business regulation), are updated to reflect the reduction.

Rule 69W-301.002, adopting the latest SEC uniform securities forms as federal standards. The proposed amendments adopt the latest version of uniform forms (Forms ADV and BD) that have been approved by the Securities and Exchange Commission (SEC) to register investment advisers (Form ADV) and broker-dealers (Form BD) with both the SEC and state regulators.

(ATTACHMENT 2)

APPROVAL FOR FINAL ADOPTION

3. The Office requests approval to publish Notices of Proposed Rules in the Florida Administrative Weekly for the following rules:

Rule Repeal: The proposed amendments repeal 19 rules identified as unnecessary as the result of the 2011 Enhanced Rule Review under Sections 120.74 and 120.745, F.S.

- Indexing Agency Orders: Rule 69T-8.002, Florida Administrative Code (F.A.C.)
- Savings Associations: Rule 69U-150.730, F.A.C.
- Mortgage Brokerage: Rules 69V-40.177 and 69V-40.265 (conforming change), F.A.C.
- Collection Agencies: Rules 69V-180.050 and .060, F.A.C.
- Money Transmitters: Rule 69V-560.901, F.A.C.
- Certified Capital Companies: Rules 69W-7.001, .002, .003, .004, .005, .006, .007, and .008, F.A.C.
- Procedural Rules for Processing Securities Registration Applications: Rules 69W-301.001 and .003, F.A.C.
- Registration of Securities: Rules 69W-700.018, .024, and .028, F.A.C.

(ATTACHMENT 3)

APPROVAL FOR PUBLICATION