

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

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

October 13, 2009

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

ITEM	SUBJECT	RECOMMENDATION
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| 1. | The Office requests approval of the minutes of the August 11, 2009, and August 25, 2009, meetings. | |
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(ATTACHMENT 1)

FOR APPROVAL

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| 2. | The Office requests approval to file a Notice of Proposed Rule for 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 PUBLICATION