

## EXHIBIT 1

### Rule Chapter 69W - Securities

#### Information Required § 120.745(2)(d)1.-4., Florida Statutes

#### Notes for Data Collection Rules

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NOTE: Data collection rules recommended for repeal are not analyzed.

#### **Rule 69W-100.007, Florida Administrative Code:**

1. The statute or statutes authorizing the collection of such data: § 517.081(3)(g), Florida Statutes.
2. The purposes for which the agency uses the data and any purpose for which the data is used by others: Data is used by investors of securities to obtain accurate information about securities which may be marketed.
3. The policies supporting the reporting and retention of the data: The policy is to prevent material misstatements of fact or omissions of material fact in the advertising and sale literature for securities.
4. Whether and to what extent the data is exempt from public inspection under chapter 119: The data is not exempt from Chapter 119, Florida Statutes.

#### **Rule 69W-301.002, Florida Administrative Code:**

1. The statute or statutes authorizing the collection of such data: § 517.081(2); 517.082(4); 517.12; 517.1201, Florida Statutes,
2. The purposes for which the agency uses the data and any purpose for which the data is used by others: Data is used by the Office to obtain information about registrants/applicants to determine qualifications for registration.
3. The policies supporting the reporting and retention of the data: The policy is to prevent unqualified persons from engaging in securities transactions in the State of Florida.
4. Whether and to what extent the data is exempt from public inspection under chapter 119: Law enforcement records are exempt from public disclosure. See s. 943.053, Florida Statutes, and 28 C.F.R. § 20.33.

**Rule 69W-600.001, Florida Administrative Code:**

1. The statute or statutes authorizing the collection of such data: § 517.12(6), Florida Statutes.
2. The purposes for which the agency uses the data and any purpose for which the data is used by others: Data is used by the Office to obtain information about registrants/applicants to determine qualifications for registration.
3. The policies supporting the reporting and retention of the data: The policy is to prevent unqualified persons from engaging in securities transactions in the State of Florida.
4. Whether and to what extent the data is exempt from public inspection under chapter 119: Law enforcement records are exempt from public disclosure. *See* s. 943.053, Florida Statutes, and 28 C.F.R. § 20.33.

**Rule 69W-600.0011, Florida Administrative Code:**

1. The statute or statutes authorizing the collection of such data: § 517.12(6), Florida Statutes; *See* § 517.1611, Florida Statutes.
2. The purposes for which the agency uses the data and any purpose for which the data is used by others: Data is used by the Office to obtain criminal background information about registrants/applicants to determine qualifications for registration.
3. The policies supporting the reporting and retention of the data: The policy is to prevent unqualified persons from engaging in securities transactions in the State of Florida.
4. Whether and to what extent the data is exempt from public inspection under chapter 119: Law enforcement records are exempt from public disclosure. *See* s. 943.053, Florida Statutes, and 28 C.F.R. § 20.33.

**Rule 69W-600.0015, Florida Administrative Code:**

1. The statute or statutes authorizing the collection of such data: § 517.12(17), Florida Statutes.
2. The purposes for which the agency uses the data and any purpose for which the data is used by others: Data is used by the Office to obtain information about registrants/applicants to determine qualifications for registration.
3. The policies supporting the reporting and retention of the data: The policy is to prevent unqualified persons from engaging in securities transactions in the State of Florida.

4. Whether and to what extent the data is exempt from public inspection under chapter 119: Law enforcement records are exempt from public disclosure. *See* s. 943.053, Florida Statutes, and 28 C.F.R. § 20.33.

**Rule 69W-600.002, Florida Administrative Code:**

1. The statute or statutes authorizing the collection of such data: § 517.12(6), (7), (13), Florida Statutes.
2. The purposes for which the agency uses the data and any purpose for which the data is used by others: Data is used by the Office to obtain information about registrants/applicants to determine qualifications for registration.
3. The policies supporting the reporting and retention of the data: The policy is to prevent unqualified persons from engaging in securities transactions in the State of Florida.
4. Whether and to what extent the data is exempt from public inspection under chapter 119: Law enforcement records are exempt from public disclosure. *See* s. 943.053, Florida Statutes, and 28 C.F.R. § 20.33.

**Rule 69W-600.0021, Florida Administrative Code:**

1. The statute or statutes authorizing the collection of such data: § 517.12(6), Florida Statutes; *see* § 517.1611, Florida Statutes.
2. The purposes for which the agency uses the data and any purpose for which the data is used by others: Data is used by the Office to obtain criminal background information about registrants/applicants to determine qualifications for registration.
3. The policies supporting the reporting and retention of the data: The policy is to prevent unqualified persons from engaging in securities transactions in the State of Florida.
4. Whether and to what extent the data is exempt from public inspection under chapter 119: Law enforcement records are exempt from public disclosure. *See* s. 943.053, Florida Statutes, and 28 C.F.R. § 20.33.

**Rule 69W-600.004, Florida Administrative Code:**

1. The statute or statutes authorizing the collection of such data: § 517.12(6), (7), (13), (15), Florida Statutes.
2. The purposes for which the agency uses the data and any purpose for which the data is used by others: Data is used by the Office to obtain information about registrants/applicants to determine qualifications for registration.

3. The policies supporting the reporting and retention of the data: The policy is to prevent unqualified persons from engaging in securities transactions in the State of Florida.
4. Whether and to what extent the data is exempt from public inspection under chapter 119: Law enforcement records are exempt from public disclosure. See s. 943.053, Florida Statutes, and 28 C.F.R. § 20.33.

**Rule 69W-600.006, Florida Administrative Code:**

1. The statute or statutes authorizing the collection of such data: § 517.12(7), Florida Statutes;
2. The purposes for which the agency uses the data and any purpose for which the data is used by others: Data is used by the Office to obtain criminal background information about registrants/applicants to determine qualifications for registration.
3. The policies supporting the reporting and retention of the data: The policy is to prevent unqualified persons from engaging in securities transactions in the State of Florida.
4. Whether and to what extent the data is exempt from public inspection under chapter 119: Law enforcement records are exempt from public disclosure. See s. 943.053, Florida Statutes, and 28 C.F.R. § 20.33.

**Rule 69W-600.007, Florida Administrative Code:**

1. The statute or statutes authorizing the collection of such data: § 517.12(13), Florida Statutes.
2. The purposes for which the agency uses the data and any purpose for which the data is used by others: Data is used by the Office to obtain information about registrants/applicants to determine qualifications for control of the registered entity.
3. The policies supporting the reporting and retention of the data: The policy is to prevent unqualified persons from engaging in securities transactions in the State of Florida.
4. Whether and to what extent the data is exempt from public inspection under chapter 119: The data regarding financial information would be subject to confidential treatment on a case by case by case basis. See § 517.2015, Florida Statutes.

**Rule 69W-600.008, Florida Administrative Code:**

1. The statute or statutes authorizing the collection of such data: § 517.12(12)(b), 517.161(5), Florida Statutes.

2. The purposes for which the agency uses the data and any purpose for which the data is used by others: Data is used by the Office to obtain information about registrants who are closing their business and/or business locations in Florida.
3. The policies supporting the reporting and retention of the data: The policy is to keep the office apprised of persons engaging in securities business in the State of Florida.
4. Whether and to what extent the data is exempt from public inspection under chapter 119: The data regarding registration is not exempt from Chapter 119, Florida Statutes.

**Rule 69W-600.010, Florida Administrative Code:**

1. The statute or statutes authorizing the collection of such data: § 517.12(7), (13) Florida Statutes.
2. The purposes for which the agency uses the data and any purpose for which the data is used by others: Data is used by the Office to obtain background information about registrants/applicants, including notice of civil, criminal, or administration proceedings, to determine whether grounds for regulatory actions exists.
3. The policies supporting the reporting and retention of the data: The policy is to prevent unqualified persons from engaging in securities transactions in the State of Florida.
4. Whether and to what extent the data is exempt from public inspection under chapter 119: Law enforcement records are exempt from public disclosure. *See* s. 943.053, Florida Statutes, and 28 C.F.R. § 20.33.

**Rule 69W-600.015, Florida Administrative Code:**

1. The statute or statutes authorizing the collection of such data: § 517.12(6),(9); 517.121, Florida Statutes.
2. The purposes for which the agency uses the data and any purpose for which the data is used by others: Data is used by the Office to ensure compliance with net capital requirements of § 517.12(9), Florida Statutes.
3. The policies supporting the reporting and retention of the data: The policy is to prevent persons that do not meet the statutory requirements in § 517.12(9), Florida Statutes, from engaging in securities transactions in the State of Florida.
4. Whether and to what extent the data is exempt from public inspection under chapter 119: The data regarding financial information would be subject to confidential treatment on a case by case by case basis. *See* § 517.2015, Florida Statutes.

**Rule 69W-600.016, Florida Administrative Code:**

1. The statute or statutes authorizing the collection of such data: § 517.12(6), (9); 517.121, Florida Statutes.
2. The purposes for which the agency uses the data and any purpose for which the data is used by others: Data is used by the Office to ensure compliance with net capital requirements of § 517.12(9), Florida Statutes.
3. The policies supporting the reporting and retention of the data: The policy is to prevent persons that do not meet the statutory requirements in § 517.12(9), Florida Statutes, from engaging in securities transactions in the State of Florida.
4. Whether and to what extent the data is exempt from public inspection under chapter 119: The data regarding financial information would be subject to confidential treatment on a case by case by case basis. See § 517.2015, Florida Statutes.

**Rule 69W-700.001, Florida Administrative Code:**

1. The statute or statutes authorizing the collection of such data: § 517.081(3), Florida Statutes.
2. The purposes for which the agency uses the data and any purpose for which the data is used by others: Data is used by the Office to obtain information about registration of securities. See 3 below regarding use by others.
1. 3. The policies supporting the reporting and retention of the data: The policy is to provide accurate information to investors regarding financial status of companies, enabling investors to make informed choices for placement of capital.
3. Whether and to what extent the data is exempt from public inspection under chapter 119: The data is not exempt from Chapter 119, Florida Statutes.

**Rule 69W-700.002, Florida Administrative Code:**

1. The statute or statutes authorizing the collection of such data: § 517.081(3), Florida Statutes.
2. The purposes for which the agency uses the data and any purpose for which the data is used by others: Data is used by the Office to obtain information about registration of securities. See 3 below regarding use by others.

4. 3. The policies supporting the reporting and retention of the data: The policy is to provide accurate information to investors regarding financial status of companies, enabling investors to make informed choices for placement of capital.
5. Whether and to what extent the data is exempt from public inspection under chapter 119: The data is not exempt from Chapter 119, Florida Statutes.

**Rule 69W-700.019, Florida Administrative Code:**

1. The statute or statutes authorizing the collection of such data: § 517.081(3), Florida Statutes.
2. The purposes for which the agency uses the data and any purpose for which the data is used by others: Data is used by the Office to obtain accurate information about securities which may be marketed.
3. The policies supporting the reporting and retention of the data: The policy is to ensure the aggregate registered sales amount on a securities offering is not exceeded.
4. Whether and to what extent the data is exempt from public inspection under chapter 119: The data is not exempt from Chapter 119, Florida Statutes.

**Rule 69W-700.020, Florida Administrative Code:**

1. The statute or statutes authorizing the collection of such data: § 517.081(3) Florida Statutes.
2. The purposes for which the agency uses the data and any purpose for which the data is used by others: Data is used by investors of securities to obtain accurate information about securities which may be marketed.
3. The policies supporting the reporting and retention of the data: The policy is to prevent material misstatements of fact or omissions of material fact in the advertising and sale literature for securities.
4. Whether and to what extent the data is exempt from public inspection under chapter 119: The data is not exempt from Chapter 119, Florida Statutes.

**Rule 69W-800.001, Florida Administrative Code:**

1. The statute or statutes authorizing the collection of such data: § 517.111, Florida Statutes.

2. The purposes for which the agency uses the data and any purpose for which the data is used by others: Data is used by the Office to obtain information about registration of securities. See 3 below regarding use by others.
3. The policies supporting the reporting and retention of the data: The policy is to provide accurate information to investors regarding financial status of companies, enabling investors to make informed choices for placement of capital.
4. Whether and to what extent the data is exempt from public inspection under chapter 119: The data is not exempt from Chapter 119, Florida Statutes.