

FLORIDA OFFICE OF
FINANCIAL REGULATION

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Office of Financial Regulation 2019-20 Regulatory Plan

Pursuant to S. 120.74, F.S., the Office of Financial Regulation (OFR) has prepared the following regulatory plan relating to laws passed in the 2019 Regular Legislative Session and other rules that the OFR expects to implement by rulemaking before July 1, 2020.

Rulemaking identified in the 2018-19 plan; however, the agency subsequently determined that rulemaking is not necessary to implement the law:

- I. Section 517.061, F.S.
 - a. The Division of Securities intended to amend Rule 69W-500.010, Florida Administrative Code, to update recognized securities manuals.
 - b. The Division of Securities determined that amendment of the rule was not necessary at this time. The Division of Securities will address potential amendments to this rule at a later date.

Laws passed during the previous 12 months which create or modify the OFR's duties or authority:

No laws were passed modifying the OFR's duties or authority.

Other laws which the OFR expects to implement by rulemaking before July 1, 2020:

- I. Sections 517.061, 517.081, 517.111, 517.12, 517.1202, 517.121, 517.1215, 517.1217, 517.161, 517.1611, 517.191, 517.221, F.S.
 - a. The Division of Securities intends to amend Rule 69W-200.002, Florida Administrative Code, to update statutes, rules and regulations incorporated by reference.
 - b. The Division of Securities intends to amend Rule 69W-500.010, Florida Administrative Code, to remove recognized securities manuals that are no longer published.
 - c. The Division of Securities intends to amend Rules 69W-600.014; 69W-600.0131, Florida Administrative Code, to update book and record requirements for state registered investment advisers.
 - d. The Division of Securities intends to amend Rules 69W-600.001, 69W-600.0012, 69W-600.0013, 69W-600.0016, 69W-600.002, 69W-600.0022, 69W-600.0023, 69W-600.0024, Florida Administrative Code, for clarification purposes.
 - e. The Division of Securities intends to amend Rule 69W-1000.001, Florida Administrative Code, to update disciplinary guidelines incorporated by reference.

Certification of Office of Financial Regulation
2019-20 Regulatory Plan

I hereby certify, on this 27th day of September 2019, that I have reviewed the OFR's 2019-20 Regulatory Plan and that the OFR regularly reviews all of its rules. The period during which all rules have most recently been reviewed to determine if the rules remain consistent with the agency's rulemaking authority and the laws implemented was: on an ongoing basis.



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