

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

<http://www.flofr.com/StaticPages/NoticesOfPublicMeetingsHearingsAndWorkshops.htm>

January 13, 2015

MEMBERS

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

Contact: Meredith Stanfield
Legislative and Cabinet Affairs Director (OFR)
(850) 410-9544

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

John Kim
Attorney, Division of Securities (OFR)
(850) 410-9781

Greg Oaks
Director, Division of Consumer Finance (OFR)
(850) 410-9829

ITEM	SUBJECT	RECOMMENDATION
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1. The Office requests approval of the minutes of the August 9, 2014 meeting.

(ATTACHMENT 1)

FOR APPROVAL

2. **Securities:** The Office requests approval to publish Notices of Proposed Rule for amendments to seven rules, repeal of three rules, and two proposed new rules in Chapter 69W, Florida Administrative Code, relating to regulation of state registered investment advisers and broker dealers:

Rules for repeal

- Financial Statements and Reports: 69W-300.002
- Financial Reporting Requirements – Statement of Financial Condition – Dealers and Investment Advisers: 69W-600.015
- Net Capital Requirements for Dealers and Investment Advisers: 69W-600.016

Proposed new rules

- Net Capital and Financial Reporting Requirements for Dealers and Issuer/Dealers: 69W-600.0151
- Net Capital and Financial Reporting Requirements for Dealers and Issuer/Dealers: 69W-600.0161

Amended rules

- General Industry Standards Incorporated by Reference: 69W-200.002
- Registration of Issuer Under Section 517.051(9), F.S., as Dealer: 69W-400.002

- Registration of Issuer Under Section 517.061(11), F.S., as Dealer: 69W-500.011
- Prohibited Business Practices for Investment Advisers and Their Associated Persons: 69W-600.0131
- Custody Requirements for Investment Advisers: 69W-600.0132
- Books and Records Requirements: 69W-600.014
- Disciplinary Guidelines for Dealers, Investment Advisers and Associated Persons: 69W-1000.001

(ATTACHMENT 2)

APPROVAL FOR NOTICE OF PROPOSED RULE

3. **Consumer Finance**: The Office requests approval to publish Notices of Proposed Rule to amend Chapter 69V-180, F.A.C., to implement statutory changes from 2014 legislation (Chapter 2014-116, Laws of Florida) relating to consumer collection practices. The Office specifically requests approval for amendments to five rules and four proposed new rules in Chapter 69V-180, Florida Administrative Code, relating to regulation of consumer collection agencies:

Amended rules

- Commercial Collection Surety Bond and Procedures: 69V-180.010
- Commercial Collection Registration Form and Procedures: 69V-180.020
- Consumer Collection Registration Form and Procedures: 69V-180.030
- Consumer Collection Agency Complaint Form and Procedures: 69V-180.040

Proposed new rules

- Adoption of Forms: 69V-180.002
- Consumer Collection Agency Electronic Filing of Forms and Fees: 69V-180.031
- Effect of Law Enforcement Records on Applications for Consumer Collection Agency Registrations: 69V-180.032
- Consumer Collection Agency Registration Renewal: 69V-180.070

(ATTACHMENT 3)

APPROVAL FOR NOTICE OF PROPOSED RULE