

**OFFICE OF FINANCIAL REGULATION**  
**Division of Securities – Public Hearing**  
**December 13, 2022, 10:00 A.M.**  
**101 East Gaines Street, Suite B103**  
**Tallahassee, Florida 32399**  
**Or join via Teleconference**  
**THIS MEETING IS OPEN TO THE PUBLIC**

**AGENDA**

1. Opening Statement.
2. Comments from the public regarding the proposed rulemaking related to the following rules:
  - 69W-200.001      Definitions
  - 69W-200.002      General Industry Standards Incorporated by Reference
  - 69W-600.001      Application for Registration as a Dealer (FINRA)
    - 69W-600.0011      Effect of Law Enforcement Records on Applications for Registration as Dealer, Issuer/Dealer, or Investment Adviser
    - 69W-600.0012      Application for Registration as a Dealer (Non-FINRA)
    - 69W-600.0013      Application for Registration as an Issuer/Dealer
    - 69W-600.0016      Application for Registration as an Investment Adviser (State Registered)
    - 69W-600.002      Application for Registration as Associated Person (FINRA Dealer)
      - 69W-600.0022      Application for Registration as an Associated Person (Non-FINRA Dealer)
      - 69W-600.0023      Application for Registration as an Associated Person (Issuer/Dealer)
      - 69W-600.0024      Application for Registration as an Associated Person (Investment Adviser and Federal Covered Advisor)
    - 69W-600.0031      Notice-Filing of Branch Office (FINRA Dealer)
    - 69W-600.0131      Prohibited Business Practices for Investment Advisers and Their Associated Persons
    - 69W-600.014      Books and Records Requirements

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

69W-600.0161 Net Capital and Financial Reporting Requirements for Investment Advisers

3. Closing Statement.

4. Meeting adjourned.

### **TELECONFERENCE INFORMATION**

**Please join my meeting from your computer, tablet or smartphone.**

<https://www.microsoft.com/en-us/microsoft-teams/join-a-meeting>

Meeting ID: 276 175 089 82

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