

Office of Financial Regulation  
Division of Securities

Column 1: Agency Name	Column 2: F.A.C. Rule Number		Column 3: OFARR Reviewed <sup>1</sup>	Column 4: REVENUE RULE/Fund or Account <sup>2</sup>						Column 5: Data Collection Rule <sup>3</sup>	Column 6: Repeal <sup>4</sup>	Column 7: Amend <sup>4</sup>	Column 8: Effective on or before 11/16/2010	Column 9: Effective on or before 11/16/2010; probable 120.541(2)(a) impact <sup>5</sup>	Notes (Col. 4)	Notes (Col. 5)
	<b>69W</b>															
Possible Answer			Y or N	Y or N	Y or N	Y or N	Y or N	Y or N	Y or N	Y or N	Y, N, or Exempt	Y, N, or Exempt	Y or N	NA, NP, 1, or 2		
	<b>Certified Capital Companies</b>															
OFR	Definitions	<a href="#">69W-7.001</a>	N	N	N	N	N	N	N	N	6/30/2012	N	Y	NP	N/A	
OFR	Certification as a Certified Capital Company	<a href="#">69W-7.002</a>	N	Y	N	N	N	N	N	Y	6/30/2012	N	Y	NP	Repeal	
OFR	Capital Requirements for Certified Capital Companies	<a href="#">69W-7.003</a>	N	N	N	N	N	N	N	Y	6/30/2012	N	Y	NP	Repeal	
OFR	Annual Review	<a href="#">69W-7.004</a>	N	N	N	N	N	N	N	N	6/30/2012	N	Y	NP	N/A	
OFR	Requirement to Update Information	<a href="#">69W-7.005</a>	N	N	N	N	N	N	N	N	6/30/2012	N	Y	NP	N/A	
OFR	Renewal of Certification	<a href="#">69W-7.006</a>	N	Y	N	N	N	N	N	N	6/30/2012	N	Y	NP	N/A	
OFR	Books and Records Requirements	<a href="#">69W-7.007</a>	N	N	N	N	N	N	N	Y	6/30/2012	N	Y	NP	Repeal	
OFR	Forms, Instructions and Manuals	<a href="#">69W-7.008</a>	N	N	N	N	N	N	N	N	6/30/2012	N	Y	NP	N/A	
	<b>Securities</b>															
OFR	Advice Concerning Exemptions	<a href="#">69W-100.005</a>	N	N	N	N	N	N	N	N	N	N	Y	NP	N/A	
OFR	Projected Financial Statements or Presentations	<a href="#">69W-100.006</a>	N	N	N	N	N	N	N	N	N	N	Y	NP	N/A	
OFR	Advertising and Sales Literature	<a href="#">69W-100.007</a>	N	N	N	N	N	N	N	Y	N	N	Y	NP	See Exhibit 1	
OFR	Offer of Securities Prior to Registration	<a href="#">69W-100.008</a>	N	N	N	N	N	N	N	N	N	N	Y	NP	N/A	
OFR	Internet or Other Electronic System Information	<a href="#">69W-100.010</a>	N	N	N	N	N	N	N	N	N	N	Y	NP	N/A	
	<b>Definitions</b>															
OFR	Definitions	<a href="#">69W-200.001</a>	N	N	N	N	N	N	N	N	N	N	Y	NP	N/A	
	<b>Applications</b>															
OFR	Financial Statements and Reports	<a href="#">69W-300.002</a>	N	N	N	N	N	N	N	N	N	N	Y	NP	N/A	
	<b>Procedural Rules for Processing</b>															
OFR	Scope	<a href="#">69W-301.001</a>	N	N	N	N	N	N	N	N	6/30/2012	N	Y	NP	N/A	
OFR	Processing of Applications	<a href="#">69W-301.002</a>	N	N	N	N	N	N	N	Y	N	Y	Y	NP	See Exhibit 1	
OFR	Right to Hearing	<a href="#">69W-301.003</a>	N	N	N	N	N	N	N	N	6/30/2012	N	Y	NP	N/A	
	<b>Exempt Securities</b>															
OFR	Rules for Eleemosynary and Religious Organizations Under the Requirements of Section 517.051(9), F.S.	<a href="#">69W-400.001</a>	N	N	N	N	N	N	N	N	N	N	Y	NP	N/A	
OFR	Registration of Issuer Under Section 517.051(9), F.S., as Dealer	<a href="#">69W-400.002</a>	N	N	N	N	N	N	N	N	N	Y	Y	NP	N/A	
OFR	Rules for Government Securities Under Section 517.051(1), F.S.	<a href="#">69W-400.003</a>	N	N	N	N	N	N	N	N	N	N	Y	NP	N/A	

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															Revenue Rules	Data Collection Rules
	2a: Title, Subtitle, Chapter	2b: Number		4a: Licensure fee	4b: Transport. Tolls	4c: Other Fees	4d: Fines	4e: Tax	4f: Other Revenue							
	<b>69W</b>															
	<b><u>Exempt Transactions</u></b>															
OFR	Integration of Section 517.061, F.S.; Offers and Sales	<a href="#">69W-500.001</a>	N	N	N	N	N	N	N	N	N	Y	NP		N/A	
OFR	Computation of Number of Purchasers	<a href="#">69W-500.004</a>	N	N	N	N	N	N	N	N	Y	Y	NP		N/A	
OFR	Disclosure Requirements of Section	<a href="#">69W-500.005</a>	N	N	N	N	N	N	N	N	N	Y	NP		N/A	
OFR	Commissions and Compensation Payable	<a href="#">69W-500.006</a>	N	N	N	N	N	N	N	N	N	Y	NP		N/A	
OFR	General Solicitation or General Advertising in Connection with an Offering Exempted Under Section 517.061(11), F.S	<a href="#">69W-500.007</a>	N	N	N	N	N	N	N	N	Y	Y	NP		N/A	
OFR	Unsolicited Purchase or Sale of Securities Pursuant to Section 517.061(13), F.S	<a href="#">69W-500.008</a>	N	N	N	N	N	N	N	N	N	Y	NP		N/A	
OFR	Recognized Manuals of Securities	<a href="#">69W-500.010</a>	N	N	N	N	N	N	N	N	N	Y	NP		N/A	
OFR	Registration of Issuer Under Section 517.061(11), F.S., as Dealer	<a href="#">69W-500.011</a>	N	N	N	N	N	N	N	N	N	Y	NP		N/A	
OFR	Exemption/Charitable Contributions to Pooled Income Funds	<a href="#">69W-500.012</a>	N	N	N	N	N	N	N	N	N	Y	NP		N/A	
OFR	Exemption/Mobile Home Parks/Limited Purpose Stock Offering	<a href="#">69W-500.013</a>	N	N	N	N	N	N	N	Y	N	Y	NP		Repeal Subsection (5)	
OFR	Court Approved Transactions	<a href="#">69W-500.014</a>	N	N	N	N	N	N	N	N	N	Y	NP		N/A	
OFR	Exemption for Offers and Sales of Securities of Foreign Issuers to Non-U.S. Persons in Offshore Transactions	<a href="#">69W-500.015</a>	N	N	N	N	N	N	N	N	N	Y	NP		N/A	
OFR	Exemption for Issuers of Section 4(2) Offerings	<a href="#">69W-500.016</a>	N	N	N	N	N	N	N	N	N	Y	NP		N/A	
OFR	Compensatory Benefit Plan Exemption	<a href="#">69W-500.017</a>	N	N	N	N	N	N	N	N	N	Y	NP		N/A	
OFR	Exemption for the Offer or Sale of a Single-Share Stock Certificate as a Gift	<a href="#">69W-500.018</a>	N	N	N	N	N	N	N	N	N	Y	NP		N/A	
	<b>Registration of dealers, investment advisers, and associated persons</b>															
OFR	Application for Registration as a Dealer, Issuer/Dealer, or Investment Adviser	<a href="#">69W-600.001</a>	N	Y	N	N	N	N	N	Y	N	Y	Y	NP	Fee authorized by s. 517.12(10), F.S.; deposited in GR & Securities Guaranty Fund (s.517.131(1), F.S.)	See Exhibit 1
OFR	Effect of Law Enforcement Records on Applications for Registration as Dealer, Issuer/Dealer, or Investment Adviser	<a href="#">69W-600.0011</a>	N	N	N	N	N	N	N	Y	N	Y	Y	NP		See Exhibit 1
OFR	Canadian Dealer Notification	<a href="#">69W-600.0015</a>	N	Y	N	N	N	N	N	Y	N	N	Y	NP	Fee authorized by s. 517.12(17)(e), F.S., deposited in in GR	See Exhibit 1

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	<b>69W</b>															
OFR	Application for Registration as Associated Person	<a href="#">69W-600.002</a>	N	Y	N	Y	N	N	N	Y	N	N	Y	NP	Fee authorized by s. 517.12(10), F.S.; deposited in the Regulatory T.F. & Securities Guaranty Fund (s.517.131(1), F.S.)	See Exhibit 1
OFR	Effect of Law Enforcement Records on Applications for Registration as Associated Persons	<a href="#">69W-600.0021</a>	N	N		N			N	Y	N	Y	Y	NP		See Exhibit 1
OFR	Multiple Registration	<a href="#">69W-600.003</a>	N	N	N	N	N	N	N	N	N	N	Y	NP		N/A
OFR	Registration of Issuer/Dealers, Principals and Branch Offices	<a href="#">69W-600.004</a>	N	Y	N	N	N	N	N	Y	N	Y	Y	NP	Fee authorized by s. 517.12(10), F.S.; deposited in the General Revenue Fund, Regulatory Trust Fund & Securities Guaranty Fund (s.517.131(1), F.S.)	See Exhibit 1
OFR	Examinations/Qualifications	<a href="#">69W-600.005</a>	N	N	N	N	N	N	N	N	N	N	Y	NP		N/A
OFR	Fingerprint Requirements	<a href="#">69W-600.006</a>	N	N	N	Y	N	N	N	Y	N	N	Y	NP	Fee authorized by s. 517.12(7), F.S.; deposited in GR	See Exhibit 1
OFR	Changes in Name and Successor Registration Requirements	<a href="#">69W-600.007</a>	N	N	N	N	N	N	N	Y	N	N	Y	NP		See Exhibit 1
OFR	Termination of Registration as Dealer, Investment Adviser, Branch Office, Principal or Agent	<a href="#">69W-600.008</a>	N	N	N	N	N	N	N	Y	N	Y	Y	NP		See Exhibit 1
OFR	Registration Renewals	<a href="#">69W-600.009</a>	N	Y	N	N	N	N	N	N	N	N	Y	NP	Fee authorized by s. 517.12(10), F.S.; deposited in GR, Regulatory T.F. & Securities Guaranty Fund (s.517.131(1), F.S.)	N/A
OFR	Central Registration Depository System	<a href="#">69W-600.0091</a>	N	N	N	N	N	N	N	N	N	N	Y	NP		N/A
OFR	Investment Adviser Registration Depository for Federal Covered Advisers	<a href="#">69W-600.0092</a>	N	Y	N	N	N	N	N	N	N	N	Y	NP	Fee authorized by s. 517.1201(2), F.S.; deposited in GR & Securities Guaranty Fund (s.517.131(1), F.S.)	N/A
OFR	Investment Adviser Registration Depository for Investment Advisers	<a href="#">69W-600.0093</a>	N	N	N	N	N	N	N	N	N	N	Y	NP		N/A
OFR	Notice of Civil, Criminal or Administrative Action	<a href="#">69W-600.010</a>	N	N	N	N	N	N	N	Y	N	N	Y	NP		See Exhibit 1
OFR	Rules of Conduct	<a href="#">69W-600.012</a>	N	N	N	N	N	N	N	N	N	N	Y	NP		N/A

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	<b>69W</b>															
OFR	Prohibited Business Practices for Dealers and Their Associated Persons	<a href="#">69W-600.013</a>	N	N	N	N	N	N	N	N	N	N	Y	NP		N/A
OFR	Prohibited Business Practices for Investment Advisers and Their Associated Persons	<a href="#">69W-600.0131</a>	N	N	N	N	N	N	N	N	N	N	Y	NP		N/A
OFR	Custody Requirements for Investment Advisers	<a href="#">69W-600.0132</a>	N	N	N	N	N	N	N	N	N	N	Y	"1"		N/A
OFR	Use of Senior - Specific Certifications and Professional Designations by Associated Persons and Investment Advisers	<a href="#">69W-600.0133</a>	N	N	N	N	N	N	N	N	N	N	Y	NP		N/A
OFR	Books and Records Requirements	<a href="#">69W-600.014</a>	N	N	N	N	N	N	N	N	N	N	Y	NP		N/A
OFR	Financial Reporting Requirements - Statement of Financial Condition - Dealers and Investment Advisers	<a href="#">69W-600.015</a>	N	N	N	N	N	N	N	Y	N	N	Y	"1"		See Exhibit 1
OFR	Net Capital Requirements for Dealers and Investment Advisers	<a href="#">69W-600.016</a>	N	N	N	N	N	N	N	Y	N	N	Y	"1"		See Exhibit 1
OFR	Customer Protection Rule - Reserve Requirements and Custody of Customer Funds and Securities	<a href="#">69W-600.017</a>	N	N	N	N	N	N	N	N	N	N	Y	NP		N/A
OFR	Continuing Education Requirements	<a href="#">69W-600.020</a>	N	N	N	N	N	N	N	N	6/30/2012	N	Y	NP		N/A
	<b>Registration of Securities</b>															
OFR	Registration of Securities	<a href="#">69W-700.001</a>	N	N	N	N	N	N	N	Y	N	N	Y	NP		See Exhibit 1
OFR	Filing of Prospectus	<a href="#">69W-700.002</a>	N	N	N	N	N	N	N	Y	N	N	Y	NP		See Exhibit 1
OFR	Content of Prospectus	<a href="#">69W-700.003</a>	N	N	N	N	N	N	N	N	N	N	Y	NP		N/A
OFR	Circulation of Preliminary Prospectuses	<a href="#">69W-700.004</a>	N	N	N	N	N	N	N	N	N	N	Y	NP		N/A
OFR	Promoters Equity Investment Ratio	<a href="#">69W-700.005</a>	N	N	N	N	N	N	N	N	N	N	Y	NP		N/A
OFR	Voting Rights	<a href="#">69W-700.006</a>	N	N	N	N	N	N	N	N	N	N	Y	NP		N/A
OFR	Options or Warrants Granted Underwriters	<a href="#">69W-700.007</a>	N	N	N	N	N	N	N	N	N	N	Y	NP		N/A
OFR	Options and Warrants to Officers, Employees and Others	<a href="#">69W-700.008</a>	N	N	N	N	N	N	N	N	N	N	Y	NP		N/A
OFR	Escrow of Proceeds from Sale of Securities	<a href="#">69W-700.009</a>	N	N	N	N	N	N	N	N	N	N	Y	NP		N/A
OFR	Preferred Stock or Debt Securities	<a href="#">69W-700.010</a>	N	N	N	N	N	N	N	N	N	N	Y	NP		N/A
OFR	Fractional Undivided Interest in Oil and Gas Titles	<a href="#">69W-700.011</a>	N	N	N	N	N	N	N	N	N	N	Y	NP		N/A
OFR	Oil and Gas Participation Plans	<a href="#">69W-700.012</a>	N	N	N	N	N	N	N	N	N	N	Y	NP		N/A
OFR	Insurance Company Licenses	<a href="#">69W-700.013</a>	N	N	N	N	N	N	N	N	N	N	Y	NP		N/A
OFR	Real Estate Investment Trusts (REIT)	<a href="#">69W-700.014</a>	N	N	N	N	N	N	N	N	N	N	Y	NP		N/A
OFR	Offering Price of Equity Securities	<a href="#">69W-700.015</a>	N	N	N	N	N	N	N	N	N	N	Y	NP		N/A

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	<b>69W</b>															
OFR	Signing Required - Consents and Consents of Experts	<a href="#">69W-700.018</a>	N	N	N	N	N	N	N	N	6/30/2012	N	Y	NP		N/A
OFR	Submission of Sales Reports	<a href="#">69W-700.019</a>	N	N	N	N	N	N	N	Y	N	Y	Y	NP		See Exhibit 1
OFR	Termination Date of Registration, Prospectuses not to be Used After Certain Date	<a href="#">69W-700.020</a>	N	N	N	N	N	N	N	Y	N	N	Y	NP		See Exhibit 1
OFR	Independent Transfer Agent and/or Registrar	<a href="#">69W-700.021</a>	N	N	N	N	N	N	N	N	N	N	Y	NP		N/A
OFR	Amendments Subsequent to Effectiveness	<a href="#">69W-700.022</a>	N	N	N	N	N	N	N	N	N	N	Y	NP		N/A
OFR	Submission of Final Documents	<a href="#">69W-700.024</a>	N	N	N	N	N	N	N	N	6/30/2012	N	Y	NP		Repeal
OFR	Unsound Financial Condition	<a href="#">69W-700.026</a>	N	N	N	N	N	N	N	N	N	N	Y	NP		N/A
OFR	Loans and Other Affiliated Transactions	<a href="#">69W-700.027</a>	N	N	N	N	N	N	N	N	N	N	Y	NP		N/A
OFR	Small Corporate Offering Registration ("SCOR" Offering)	<a href="#">69W-700.028</a>	N	Y	N	N	N	N	N	Y	6/30/2012	N	Y	NP		Repeal
	<b>Notification Registration of Securities</b>															
OFR	Filing - Notification Registration Including Shelf Filings	<a href="#">69W-800.001</a>	N	Y	N	N	N	N	N	Y	N	Y	Y	NP	Fee authorized by s. 517.082(2)(d), F.S., and deposited in GR	See Exhibit 1
OFR	Effective Registration	<a href="#">69W-800.003</a>	N	N	N	N	N	N	N	N	N	N	Y	NP		N/A
OFR	Circulation of Preliminary Prospectus	<a href="#">69W-800.004</a>	N	N	N	N	N	N	N	N	N	N	Y	NP		N/A
OFR	Disclosure of Business Activities in Cuba	<a href="#">69W-900.001</a>	N	N	N	N	N	N	N	N	N	N	Y	NP		N/A
OFR	Disciplinary Guidelines	<a href="#">69W-1000</a>	N	N	N	N	Y	N	N	N	N	N	N	NP	Fines authorized by s. 517.221(3), F.S.; deposited in the Anti-Fraud T.F.	N/A