



FLORIDA OFFICE OF FINANCIAL REGULATION

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PAMELA P. EPTING
INTERIM COMMISSIONER

Office of Financial Regulation 2018-19 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 2018 Regular Legislative Session and other rules that the OFR expects to implement by rulemaking before July 1, 2019.

Rulemaking identified in the 2017-18 plan; however, the agency subsequently determined that rulemaking is not necessary to implement the law:

- I. Section 655.045, F.S.
 - a. The OFR intended to amend Rule 69U-120.045(2)(a), Florida Administrative Code, which governs Minimum Internal Audit Procedures.
 - b. The OFR determined that amendment of the rule was not necessary at this time. The OFR 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:

- I. Chapter 2018-48, Laws of Florida
 - a. The OFR amended Rule 69U-100.03852, Florida Administrative Code, to implement this law.
 - b. The OFR published a Notice of Development of Rulemaking in the Florida Administrative Register, in Volume 44 Number 67, on April 5, 2018.
 - c. The OFR published a Notice of Proposed Rule in the Florida Administrative Register, in Volume 44 Number 116, on June 14, 2018.
 - d. The amended rule became effective September 11, 2018.
- II. Chapter 2018-139, Laws of Florida
 - a. The OFR is not required to adopt rules to implement this law.
 - b. Rulemaking is unnecessary to implement this law because the statutory changes contain sufficient guidance and detail.
- III. Chapter 2018-26, Laws of Florida
 - a. The OFR plans to begin rulemaking to create new rules and amend existing rules under 69V-560, to implement this law relating to Deferred Presentment Transactions.
- IV. Chapter 2018-7, Laws of Florida
 - a. The OFR amended rules 69V-40 and 69W-600, Florida Administrative Code, to implement this law relating to Military Fee Waivers.
 - b. The rules were filed with the Department of State for final adoption on September 5, 2018, and became effective on September 25, 2018.

Other laws which the OFR expects to implement by rulemaking before July 1, 2019:


- I. Sections 517.061, 517.07, 517.081, 517.082, 517.101, 517.111, 517.12, 517.1202, 517.121, 517.1217, 517.161, 517.1611, 517.191, 517.221, F.S.
 - a. The OFR intends to amend Rule 69W-200.002, Florida Administrative Code, to update statutes, rules and regulations incorporated by reference.
 - b. The OFR intends to amend Rule 69W-301.002, Florida Administrative Code, to update forms incorporated by reference.
 - c. The OFR intends to amend Rule 69W-600.010, Florida Administrative Code, to update recognized securities manuals.
 - d. The OFR intends to amend Rule 69W-600.0024(6)(c), Florida Administrative Code, to clarify.
 - e. The OFR intends to amend Rule 69W-1000.001, Florida Administrative Code, to update statutes, rules and regulations.

Certification of Office of Financial Regulation
2018-19 Regulatory Plan

I hereby certify, on this ___26th___ day of September 2018, that I have reviewed the OFR's 2018-19 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 .



Pamela P. Epting, Interim Commissioner
Office of Financial Regulation



Anthony Cammarata, General Counsel
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