

NAME OF PERSON ORIGINATING PROPOSED RULE:
 George Rozes, Senior Management Analyst II, Division of
 Risk Management, Department of Financial Services
 NAME OF AGENCY HEAD WHO APPROVED THE
 PROPOSED RULE: Alex Sink, Chief Financial Officer,
 Department of Financial Services
 DATE PROPOSED RULE APPROVED BY AGENCY
 HEAD: September 23, 2010
 DATE NOTICE OF PROPOSED RULE DEVELOPMENT
 PUBLISHED IN FAW: July 23, 2010

Section III Notices of Changes, Corrections and Withdrawals

DEPARTMENT OF COMMUNITY AFFAIRS
Division of Housing and Community Development

RULE NO.: RULE TITLE:
 9B-70.002 Commission Approval and
 Accreditation of Advanced
 Building Code Training Courses
 NOTICE OF CHANGE

Notice is hereby given that the following changes have been made to the proposed rule in accordance with subparagraph 120.54(3)(d)1., F.S., published in Vol. 36, No. 29, July 23, 2010 issue of the Florida Administrative Weekly.

(1) Approval of Course Accreditors. The Commission shall approve persons to serve as accreditors of advanced training courses. Persons desiring to be accreditors shall apply using the Register Accreditor function and associated online screens, Form FBC-ED-001 ~~9B-70.002(4)~~, effective September 10, 2010 ~~January 1, 2009~~ adopted herein by reference and available from the Building Code Information System at www.floridabuilding.org/ce/ce_tporgapp_dt11.aspx. Applications shall be accompanied by an application fee of \$100.00. Applications shall be approved by the Commission if the applicant has demonstrated five years of Florida Building Code expertise in the field for which approval is sought, or equivalent as specified below, or possesses an active license issued pursuant to Section 471.015, 481.213, or 481.311; Chapter 489, Part I or II, F.S.; or a standard certificate issued pursuant to Section 468.609, F.S. Accreditors approved by the Commission under prior versions of this rule are authorized to continue accreditation of building code courses. Equivalent expertise or proficiency under this provision shall include:

- (a) through (2)(d) No change.
- (3) Training Provider Registration and Requirements.

(a) Training providers approved by the Department of Business and Professional Regulation who desire Commission approval and accreditation for advanced building code courses shall register with the Building Code Information System using the Register Training Provider function and associated online

screens, Form FBC-ED-002 ~~9B-70.002(4)(a)~~ effective September 10, 2010 ~~January 1, 2009~~, adopted herein by reference and available from the Building Code Information System at www.floridabuilding.org/ce/ce_tporgapp_dt11.aspx, and pay a registration fee of \$25.00.

(b) Registered training providers shall submit materials and information pertaining to courses for which Commission accreditation and approval is sought utilizing the Submit a Course Application function and associates online screens, Form FBCED 2003-03 ~~9B-70.002(4)(b)~~ effective September 10, 2010 ~~January 1, 2009~~, adopted herein by reference and available from the Building Code Information System at www.floridabuilding.org.

(c) through (7) No change.

Rulemaking Authority 553.841(2) FS. Law Implemented 553.841 FS. History--New 6-8-05, Amended 4-30-07, 6-12-08, 3-4-09, 11-2-09, _____.

BOARD OF TRUSTEES OF THE INTERNAL IMPROVEMENT TRUST FUND

Notices for the Board of Trustees of the Internal Improvement Trust Fund between December 28, 2001 and June 30, 2006, go to <http://www.dep.state.fl.us/> under the link or button titled "Official Notices."

WATER MANAGEMENT DISTRICTS

St. Johns River Water Management District

RULE NOS.: RULE TITLES:
 40C-44.091 Publications Incorporated by
 Reference
 40C-44.341 Revocation or Modification of
 Permits

NOTICE OF CORRECTION

Notice is hereby given that the following correction has been made to the proposed rule in Vol. 36, No. 39, October 1, 2010 issue of the Florida Administrative Weekly.

The following was inadvertently omitted from the Notice of Proposed Rule:

SUMMARY OF STATEMENT OF ESTIMATED REGULATORY COSTS: No Statement of Estimated Regulatory Cost was prepared.

Any person who wishes to provide information regarding a statement of estimated regulatory costs, or provide a proposal for a lower cost regulatory alternative must do so in writing within 21 days of this notice.

RULEMAKING AUTHORITY: 373.044, 373.113, 373.118 FS.

LAW IMPLEMENTED: 373.079, 373.083, 373.118, 373.129, 373.413, 373.416, 373.426, 373.609, 373.613 FS.

IF REQUESTED WITHIN 21 DAYS OF THE DATE OF THIS NOTICE, A HEARING WILL BE HELD AT THE DATE, TIME AND PLACE SHOWN BELOW (IF NOT REQUESTED, THIS HEARING WILL NOT BE HELD):

DATE AND TIME: Following the regularly scheduled Governing Board Meeting on November 9, 2010, which begins at 1:00 p.m.

PLACE: St. Johns River Water Management District Headquarters, Executive Building, 4049 Reid Street, Palatka, Florida 32177

THE PERSON TO BE CONTACTED REGARDING THE PROPOSED RULE IS: Wendy Gaylord, Rules Coordinator, Office of General Counsel, St. Johns River Water Management District, 4049 Reid Street, Palatka, Florida 32177-2529, (386)326-3026, email wgaylord@sjrwmd.com

REGIONAL UTILITY AUTHORITIES

Peace River/Manasota Regional Water Supply Authority

RULE NOS.:	RULE TITLES:
49D-1.001	Agency Description
49D-1.002	Address, Office Hours and Copies of Documents
49D-1.003	Boundaries
49D-1.004	Statutes and Rules Affecting Agency Operations
49D-1.005	Delegation of Authority by the Board of Directors
49D-1.006	General Description of Agency Operations
49D-1.007	Designation of Agency Clerk and Official Reporter
49D-1.008	Voting
49D-1.009	Adoption of Model Rules of Procedure

NOTICE OF CORRECTION

Notice is hereby given that the following correction has been made to the proposed rule in Vol. 36, No. 37, September 17, 2010 issue of the Florida Administrative Weekly.

The correction is in response to written comments submitted by the staff of the Joint Administrative Procedures Committee to correct the name of the agency head approving the proposed rule on September 1, 2010 from the Executive Director, Patrick Lehman, to the Peace River Manasota Regional Water Supply Authority Board of Directors

NAME OF AGENCY HEAD WHO APPROVED THE PROPOSED RULE: Peace River Manasota Regional Water Supply Authority Board of Directors

DATE PROPOSED RULE APPROVED BY AGENCY HEAD: September 1, 2010

DEPARTMENT OF MANAGEMENT SERVICES

Agency for Workforce Innovation

RULE NOS.:	RULE TITLES:
60BB-3.0251	Definitions Relating to Emergency Unemployment Compensation
60BB-3.0252	Eligibility for Emergency Unemployment Compensation
60BB-3.0253	Emergency Unemployment Compensation Individual Accounts
60BB-3.0254	How to Apply for Emergency Unemployment Compensation

NOTICE OF CHANGE

Notice is hereby given that the following changes have been made to the proposed rule in accordance with subparagraph 120.54(3)(d)1., F.S., published in Vol. 36, No. 35, September 3, 2010 issue of the Florida Administrative Weekly.

60BB-3.0251 Definitions Relating to Emergency Unemployment Compensation.
(No change)

60BB-3.0252 Eligibility for Emergency Unemployment Compensation.

(1) Eligibility Conditions. Emergency Unemployment Compensation is available to individuals who:

- (a) Have exhausted all rights to regular unemployment compensation on a Florida claim with a benefit year that ended on or after May 1, 2007;
- (b) Have no rights to unemployment compensation under any other state or federal law;
- (c) Are not receiving compensation with respect to such week under the unemployment compensation law of Canada; and
- (d) Are legally authorized to work in the United States.

(2) Exhaustion of Benefits. For purposes of this rule, an individual has exhausted all rights to regular unemployment compensation when that individual:

- (a) Has received all regular unemployment compensation available on the qualifying benefit year; or
- (b) Had rights to regular unemployment compensation on the qualifying benefit year, but has insufficient wage credits to establish a new benefit year for regular unemployment compensation.

(3) Exception to Exhaustion Requirement.

(a) Notwithstanding paragraph (1)(a) of this rule, and except as provided in paragraphs (3)(c)-(f) of this rule, the expiration of a qualifying benefit year during which the individual has earned sufficient wage credits to establish monetary eligibility for a new benefit year will not render the individual ineligible for emergency unemployment compensation if:

- 1. The individual has established entitlement to emergency unemployment compensation with respect to that qualifying benefit year;

2. The individual's qualifying benefit year expired on or after July 23, 2010;

3. The individual has remaining entitlement to emergency unemployment compensation benefits with respect to that benefit year; and

4. The weekly benefit amount established under the new benefit year is at least either 25% or \$100 less than the weekly benefit amount for the qualifying benefit year.

(b) If the criteria set forth in paragraph (3)(a) of this rule are satisfied, the Agency shall establish a new benefit year for the individual, but shall defer payment of regular unemployment compensation for the new benefit year until all emergency unemployment compensation payable to the individual has been exhausted.

(c) If the Agency receives information indicating that an individual who qualifies for an exception to the exhaustion requirement under paragraph (3)(a) of this rule has earned income in another state or in other states which would render the individual monetarily eligible for a claim for regular unemployment compensation in that state, the Agency will mail the individual a Form AWI UCB11-I EUC/CWC (09/10), Notice of Eligibility for Regular Benefits in Another State, which will instruct the claimant to notify the appropriate agency in the other state regarding a claim for benefits in that state. The Form AWI UCB11-I EUC/CWC is hereby incorporated by reference into this rule.

(d) The Agency will lift the suspension if the individual files a claim for benefits with the other state as directed on the Form AWI UCB11-I EUC/CWC, and

1. The other state communicates to the Agency that it has determined that the weekly benefit amount for a claim for regular unemployment compensation in that state is at least either 25% or \$100 less than the weekly benefit amount under the individual's EUC claim in Florida; or

2. After twenty eight days have elapsed since the mailing date on the Form AWI UCB11-I EUC/CWC, the other state has not communicated to the Agency its determination regarding the individual's entitlement to regular unemployment compensation in that state.

(e) If the Agency lifts the suspension of the Florida EUC benefits, it will resume paying such benefits to the individual and will also pay the individual benefits for any weeks to which the individual is otherwise entitled that occur during the period of suspension.

(f) If the other state determines that the weekly benefit amount for a claim for regular unemployment compensation in that state is greater than either 25% or \$100 less than the weekly benefit amount under the individual's EUC claim in Florida, the Agency will cease paying on the EUC claim. If, at the time the regular unemployment compensation claim in the other state is exhausted, the individual is still entitled to EUC benefits, the Agency will resume payment of EUC benefits.

(4) Amount Payable.

(a) The amount of emergency unemployment compensation payable to an individual for any week of total unemployment will be equal to the amount of regular unemployment compensation payable during the individual's qualifying benefit year for a week of total unemployment.

(b) The maximum amount of emergency unemployment compensation payable to any individual will not exceed the amount established for such individual in the emergency unemployment compensation account described in Rule 60BB-3.0253, F.A.C.

(5) Applicable Law. The terms and conditions of the law under which the individual claimed and received regular unemployment compensation will apply to claims for and payment of emergency unemployment compensation.

(6) Overpayments. An individual who receives emergency unemployment compensation to which he is not entitled will repay any such overpayment to the Agency for Workforce Innovation. The requirement to repay the overpayment will not be waived.

(a) The Agency may recoup any such overpayments by deducting 50 percent of the weekly benefit amount from any future payments until the overpayment is repaid in full.

(b) Recoupment of overpayments from future benefits may occur at any time during the 3-year period after the date the individual received the payment of the emergency unemployment compensation to which he was not entitled.

(c) No waiver of such recoupment may occur except as permitted by Section 443.151(6)(c), Florida Statutes.

Rulemaking Authority 443.1317(1)(b) FS. Law Implemented 443.091, 443.111, 443.151(6), 443.221(3) FS. History—New 8-11-10, Amended _____.

60BB-3.0253 Emergency Unemployment Compensation Individual Accounts.

(No change)

60BB-3.0254 How to Apply for Emergency Unemployment Compensation.

(No change)

DEPARTMENT OF MANAGEMENT SERVICES

Agency for Workforce Innovation

RULE NOS.:	RULE TITLES:
60BB-3.0261	Definitions Relating to Extended Benefits
60BB-3.0262	Eligibility for Extended Benefits
60BB-3.0263	How to Apply for Extended Benefits

NOTICE OF CHANGE

Notice is hereby given that the following changes have been made to the proposed rule in accordance with subparagraph 120.54(3)(d)1., F.S., published in Vol. 36, No. 35, September 3, 2010 issue of the Florida Administrative Weekly.

Proposed Rules 60BB-3.0261, 60BB-3.0262, and 60BB-3.0263, Florida Administrative Code, and the forms incorporated by reference into these proposed rules were under review by the Joint Administrative Procedures Committee. On September 17, 2010, the Joint Administrative Procedures Committee directed the attention of the Agency for Workforce attention to a problem with the language in one of the forms incorporated by reference into Proposed Rule 60BB-3.0262, to-wit: EB BRI (7/10), Extended Benefits Benefit Rights Information. The language at issue is: "Failure to meet the EB work search requirements or to accept suitable work in any given week will result in a denial of further benefits until you have worked in at least four (4) different weeks and earned four (4) times your weekly benefit amount."

The Agency has amended this form in response to the Joint Administrative Procedures Committee's comments. Now the language of EB BRI (9/10), Extended Benefits Benefit Rights Information reads as follows: "Failure to apply for, or accept an offer of, suitable work in any given week will result in a denial of further benefits until you have worked in at least four (4) different weeks and earned seventeen (17) times your weekly benefit amount. Failure to furnish tangible evidence of a systematic and sustained effort to find work will result in a denial of further benefits until you have worked in at least four (4) different weeks and earned four (4) times your weekly benefit amount."

THE PERSON TO BE CONTACTED REGARDING THE PROPOSED RULE IS: John R. Perry, Assistant General Counsel, Agency for Workforce Innovation, Office of General Counsel, 107 East Madison Street, MSC 110, Tallahassee, Florida 32399-4128, (850)245-7150, fax (850)921-3230, email john.perry@flaawi.com.

DEPARTMENT OF ENVIRONMENTAL PROTECTION

Notices for the Department of Environmental Protection between December 28, 2001 and June 30, 2006, go to <http://www.dep.state.fl.us/> under the link or button titled "Official Notices."

DEPARTMENT OF JUVENILE JUSTICE

Residential Services

RULE NO.: RULE TITLE:
63E-7.002 Definitions

NOTICE OF CORRECTION

Notice is hereby given that the following was inadvertently omitted from the Notice of Proposed Rule published in Vol. 36, No. 39, October 1, 2010 issue of the Florida Administrative Weekly.

NAME OF PERSON ORIGINATING PROPOSED RULE: Darryl Olson, Assistant Secretary for Residential Services

NAME OF AGENCY HEAD WHO APPROVED THE PROPOSED RULE: Frank Peterson, Jr., Secretary

DATE PROPOSED RULE APPROVED BY AGENCY HEAD: September 17, 2010

DATE NOTICE OF PROPOSED RULE DEVELOPMENT PUBLISHED IN FAW: August 27, 2010

DEPARTMENT OF HEALTH

Division of Disease Control

RULE NO.: RULE TITLE:
64D-3.046 Immunization Requirements: Public and Nonpublic Schools, Grades Preschool, Kindergarten Through 12, and Adult Education Classes

NOTICE OF CORRECTION

Notice is hereby given that the following correction has been made to the proposed rule in Vol. 36, No. 35, September 3, 2010 issue of the Florida Administrative Weekly.

If requested within 7 days of the date of this notice, a hearing will be held at the date, time, and place shown below.

DATE AND TIME: October 18, 2010, 10:00 a.m. (EDT)

PLACE: 2585 Merchants Row Boulevard, Tallahassee, Florida 32399

THE PERSON TO BE CONTACTED REGARDING THE PROPOSED RULE IS: Susan Lincicome, Senior Management Analyst Supervisor, Department of Health, Bureau of Immunization, 2585 Merchants Row Boulevard, Room 210N, Tallahassee, Florida 32399, (850)245-4342

DEPARTMENT OF HEALTH

Office of Statewide Research

RULE NO.: RULE TITLE:
64H-1.002 Biomedical Research Grant Applications

NOTICE OF CHANGE

Notice is hereby given that the following changes have been made to the proposed rule in accordance with subparagraph 120.54(3)(d)1., F.S., published in Vol. 36, No. 7, February 19, 2010 issue of the Florida Administrative Weekly.

The original proposed rule has been replaced in its entirety to now read:

64H-1.002 Biomedical Research Grant Applications.

(1) All documents incorporated by reference are available at www.floridabiomed.com.

(2) Grant applications will be accepted in accordance with the following calls for grant applications, incorporated by reference herein:

(a) James & Esther King Biomedical Research Program, Call for Grant Applications: Bridge Grants for Diseases Related to Tobacco Use, Fiscal Year 2011-12, issued December 2010.

(b) James & Esther King Biomedical Research Program, Call for Grant Applications: New Investigator Research (NIR) Grant for Diseases Related to Tobacco Use, Fiscal Year 2011-12, issued December 2010.

(c) James & Esther King Biomedical Research Program, Call for Grant Applications: Team Science Program (TSP) Grant for Diseases Related to Tobacco Use, Fiscal Year 2011-12, issued December 2010.

(d) James & Esther King Biomedical Research Program, Call for Grant Applications: Technology Transfer Feasibility (TTF) Grant for Diseases Related to Tobacco Use, Fiscal Year 2010-11, issued June 2010.

(e) James & Esther King Biomedical Research Program, Call for Grant Applications: Technology Transfer/Commercialization Partnership (TTCP) Grant for Diseases Related to Tobacco Use, Fiscal Year 2010-11, issued June 2010.

(f) Bankhead-Coley Cancer Research Program, Call for Grant Applications: Bridge Grants for Cancer, Fiscal Year 2011-12, issued December 2010.

(g) Bankhead-Coley Cancer Research Program, Call for Grant Applications: New Investigator Research (NIR) Grant for Cancer, Fiscal Year 2011-12, issued December 2010.

(h) Bankhead-Coley Cancer Research Program, Call for Grant Applications: Team Science Program (TSP) Grant for Cancer, Fiscal Year 2011-12, issued December 2010.

(i) Bankhead-Coley Cancer Research Program, Call for Grant Applications: Technology Transfer Feasibility (TTF) Grant for Cancer, Fiscal Year 2010-11, issued June 2010.

(j) Bankhead-Coley Cancer Research Program, Call for Grant Applications: Technology Transfer/Commercialization Partnership (TTCP) Grant for Cancer, Fiscal Year 2010-11, issued June 2010.

(3) Grant applications will be reviewed by peer reviewers located outside Florida in accordance with the following review questions, incorporated by reference herein:

(a) 2011-2012 James & Esther King Program Bridge Grant Review Questions.

(b) 2011-2012 James & Esther King Program New Investigator Research Grant Review Questions.

(c) 2011-2012 James & Esther King Program Team Science Project Grant Review Questions.

(d) 2010-2011 James & Esther King Program Technology Transfer Feasibility Grant Review Questions.

(e) 2010-2011 James & Esther King Program Technology Transfer/Commercialization Partnership Grant Review Questions.

(f) 2011-2012 Bankhead-Coley Program Bridge Grant Review Questions.

(g) 2011-2012 Bankhead-Coley Program New Investigator Research Grant Review Questions.

(h) 2011-2012 Bankhead-Coley Program Team Science Project Grant Review Questions.

(i) 2010-2011 Bankhead-Coley Program Technology Transfer Feasibility Grant Review Questions.

(j) 2010-2011 Bankhead-Coley Program Technology Transfer/Commercialization Partnership Grant Review Questions.

(4) Grantees will execute their award in accordance with the following Terms & Conditions and attachments, incorporated by reference herein:

(a) Florida Biomedical Research Programs James and Esther King Biomedical Research Program and Bankhead-Coley Cancer Research Program Terms and Conditions.

(b) Florida Biomedical Research Programs Terms and Conditions Attachment 1.

(c) Florida Biomedical Research Programs Terms and Conditions Attachment 2 Bridget Grant Schedule of Deliverables and Payments.

(d) Florida Biomedical Research Programs Terms and Conditions Attachment 2 New Investigator Research Grant Schedule of Deliverables and Payments.

(e) Florida Biomedical Research Programs Terms and Conditions Attachment 2 Team Science Project Grant Schedule of Deliverables and Payments.

(f) Florida Biomedical Research Programs Terms and Conditions Attachment 2 Technology Transfer Feasibility Grant Schedule of Deliverables and Payments.

(g) Florida Biomedical Research Programs Terms and Conditions Attachment 2 Technology Transfer/Commercialization Partnership Grant Schedule of Deliverables and Payments.

(5) Grantees will manage their award in accordance with the Florida Biomedical Research Programs, Grant Administration Manual, Version 1, January 2008.

Rulemaking Authority 215.5602(9) FS. Law Implemented 215.5602(5), 381.922(3)(a) FS. History—New _____.

FINANCIAL SERVICES COMMISSION

Securities

<p>RULE NOS.:</p> <p>69W-600.012</p> <p>69W-600.013</p> <p>69W-600.0131</p> <p>69W-600.020</p>	<p>RULE TITLES:</p> <p>Rules of Conduct</p> <p>Prohibited Business Practices for Dealers and Their Associated Persons</p> <p>Prohibited Business Practices for Investment Advisers and Their Associated Persons</p> <p>Continuing Education Requirements</p>
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NOTICE OF CHANGE

Notice is hereby given that the following changes have been made to the proposed rule in accordance with subparagraph 120.54(3)(d)1., F.S., published in Vol. 36, No. 33, August 20, 2010 issue of the Florida Administrative Weekly.

The rules have been changed to address comments from the staff of the Joint Administrative Procedures Committee. The changes include the following:

1) Effective dates have been added to materials incorporated by reference in Rule 69W-600.012(1)(d); 69W-600.013(1)(h)1. and (1)(h)5.; and Rule 69W-600.020(1)(a), (c), and (e).

2) Paragraphs 69W-600.012(5)(c), (d), (e), and (f) are changed as follows to clarify citations to federal regulations incorporated by reference:

(c) SEC Rules 10b-1, 10b-3, 10b-5, 10b5-1, 10b5-2, 10b-9, 10b-10, 10b-16, 10b-17, 10b-18, and 10b-21 (17 CFR §§ 240.10b-1, 240.10b-3, 240.10b-5, 240.10b5-1, 240.10b5-2, 240.10b-9, 240.10b-10, 240.10b-16, 240.10b-17, 240.10b-18, and 240.10b-21 (2010));

(d) SEC Rules 15c1-1 through 15c1-3 and 15c1-5 through 15c1-9 (17 CFR §§ 240.15c1-1 through 240.15c1-3 and 240.15c1-5 through 240.15c1-9 (2010));

(e) SEC Rules 15c2-1, 15c2-4, 15c2-5, 15c2-7, 15c2-8, 15c2-11, and 15c2-12 (17 CFR §§ 240.15c2-1, 240.15c2-4, 240.15c2-5, 240.15c2-7, 240.15c2-8, 240.15c2-11, and 240.15c2-12 (2010));

(f) SEC Rules 15g-1 through 15g-6, 15g-8, and 15g-9 (17 CFR §§ 240.15g-1 through 240.15g-6, 240.15g-8 and 240.15g-9 (2010));

3) Rule 69W-600.013(1)(a), (1)(h)1., (1)(h)4., and (2)(a) are changed as follows to clarify citations to federal regulations, FINRA rules, and NASD rules:

(1) The following are deemed demonstrations of unworthiness by a dealer under Section 517.161(1)(h), F.S., without limiting that term to the practices specified herein:

(a) Extending, arranging for, or participating in arranging for credit to a customer in violation of Regulation T, Credit by Brokers and Dealers, (12 C.F.R. §§ 220.1 through 220.12, 220.101, 220.103, 220.105, 220.108, 220.110, 220.111, 220.113, 220.117, 220.118, 220.119, 220.121, 220.122, 220.123, 220.124, 220.127, 220.128, 220.131, and 220.132 (2010) and 12 C.F.R. § 221.125 (2010)) 220.1-220.132 (2006), which is incorporated by reference.

(h) With respect to any customer, transaction or business in this state, violating any of the following:

1. Financial Industry Regulatory Authority (FINRA) rules contained in the Rule 2000 Series (Duties and Conflicts), Rule 3000 Series (Supervision and Responsibilities Relating to Associated Persons), Rule 4000 Series (Financial and Operational Rules), Rule 5000 Series (Securities Offering and Trading Standards and Practices), Rule 6000 Series (Quotation and Transaction Reporting Facilities), or Rule 7000 Series

(Clearing, Transaction and Order Data Requirements, and Facility Charges), as such rules existed on June 28, 2010; National Association of Securities Dealers (NASD) Conduct Rules contained in the Rule 2000 Series (Business Conduct) or Rule 3000 Series (Responsibilities Relating to Associated Persons, Employees, and Others' Employees), as such rules existed on June 28, 2010; or NASD Uniform Practice Code rules contained in the Rule 11000 Series, as such rules existed on June 28, 2010. Conduct Rules, Marketplace Rules, or the Uniform Practice Code of the National Association of Securities Dealers (NASD). The foregoing NASD regulations, along with the interpretive materials for those regulations, are published in the NASD manual dated March 2006, which is incorporated by reference.

4. Section 15(b)(4)(E) of the Securities Exchange Act of 1934, (15 U.S.C.A. § 78o(b)(4)(E) (2006 & Supp. III Thomson/West 2006 (current through P.L. 109 229)); Regulation SHO, Regulation of Short Sales, (17 C.F.R. §§ 242.200-242.203 (2010 2006)); or NASD Conduct Rule 3210, as it existed on June 28, 2010. The foregoing provisions of the Securities Exchange Act of 1934 and Regulation SHO, Regulation of Short Sales, are incorporated by reference. NASD Conduct Rule 3210, as it existed on July 3, 2006, is incorporated by reference.

(2) The following are deemed demonstrations of unworthiness by an associated person of a dealer under Section 517.161(1)(h), F.S., without limiting that term to the practices specified herein:

(a) Borrowing money or securities from a customer, except when persons are in compliance with FINRA NASD Conduct Rule 32402370(a)(1), (a)(2)(A)-(C) only, and FINRA NASD Conduct Rule 32402370(b)-(c), as these rules existed on June 28, 2010 which are incorporated by reference in subparagraph (1)(h)1.;

4) Rule 69W-600.0131 has been changed to correct the citation to the National Securities Markets Improvement Act of 1996.

Section IV Emergency Rules

BOARD OF TRUSTEES OF THE INTERNAL IMPROVEMENT TRUST FUND

Notices for the Board of Trustees of the Internal Improvement Trust Fund between December 28, 2001 and June 30, 2006, go to <http://www.dep.state.fl.us/> under the link or button titled "Official Notices."