

Section I
Notice of Development of Proposed Rules
and Negotiated Rulemaking

DEPARTMENT OF BUSINESS AND PROFESSIONAL
REGULATION

Board of Professional Engineers

RULE NO.: RULE TITLE:

61G15-32.002 Definitions

PURPOSE AND EFFECT: The purpose of the amendment is
to delete unnecessary language and add new language to clarify
the rule.

SUBJECT AREA TO BE ADDRESSED: Update rule text.

RULEMAKING AUTHORITY: 471.008, 471.033(2) FS.

LAW IMPLEMENTED: 471.005(7), 471.033(2) FS.

IF REQUESTED IN WRITING AND NOT DEEMED
UNNECESSARY BY THE AGENCY HEAD, A RULE
DEVELOPMENT WORKSHOP WILL BE NOTICED IN
THE NEXT AVAILABLE FLORIDA ADMINISTRATIVE
REGISTER.

THE PERSON TO BE CONTACTED REGARDING THE
PROPOSED RULE DEVELOPMENT AND A COPY OF
THE PRELIMINARY DRAFT, IF AVAILABLE, IS: Zana
Raybon, Executive Director, Board of Professional Engineers,
2639 North Monroe Street, Suite B-112, Tallahassee, FL
32303, (850)521-0500.

THE PRELIMINARY TEXT OF THE PROPOSED RULE
DEVELOPMENT IS AVAILABLE AT NO CHARGE FROM
THE CONTACT PERSON LISTED ABOVE.

Section II
Proposed Rules

DEPARTMENT OF HEALTH

Board of Medicine

RULE NO.: RULE TITLE:

64B8-56.002 Equipment and Devices; Protocols for Laser
and Light-Based Devices

PURPOSE AND EFFECT: The Council proposes a rule
amendment to update the rule language regarding equipment
and devices; protocols for laser, and light-based devices.

SUMMARY: The proposed rule amendment updates the rule
language regarding equipment and devices; protocols for laser,
and light-based devices.

SUMMARY OF STATEMENT OF ESTIMATED
REGULATORY COSTS AND LEGISLATIVE
RATIFICATION:

The Agency has determined that this will not have an adverse
impact on small business or likely increase directly or indirectly

regulatory costs in excess of \$200,000 in the aggregate within
one year after the implementation of the rule. A SERC has not
been prepared by the Agency.

The Agency has determined that the proposed rule is not
expected to require legislative ratification based on the
statement of estimated regulatory costs or if no SERC is
required, the information expressly relied upon and described
herein: During discussion of the economic impact of this rule at
its Council meeting, the Council concluded that this rule change
will not have any impact on licensees and their businesses or
the businesses that employ them. The rule will not increase any
fees, business costs, personnel costs, will not decrease profit
opportunities, and will not require any specialized knowledge
to comply. This change will not increase any direct or indirect
regulatory costs. Hence, the Council determined that a
Statement of Estimated Regulatory Costs (SERC) was not
necessary and that the rule will not require ratification by the
Legislature. No person or interested party submitted additional
information regarding the economic impact at that time.

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: 458.331(1)(v), 478.43(1), (4)
FS.

LAW IMPLEMENTED: 458.331(1)(v), 458.348(3), 478.42(5),
478.43(1), (3), (4) FS.

IF REQUESTED WITHIN 21 DAYS OF THE DATE OF THIS
NOTICE, A HEARING WILL BE SCHEDULED AND
ANNOUNCED IN THE FAR.

THE PERSON TO BE CONTACTED REGARDING THE
PROPOSED RULE IS: Allen Hall, Executive Director, The
Board of Medicine Council of Electrolysis, 4052 Bald Cypress
Way, Bin # C05, Tallahassee, Florida 32399-3253.

THE FULL TEXT OF THE PROPOSED RULE IS:

64B8-56.002 Equipment and Devices; Protocols for Laser
and Light-Based Devices.

(1) No change.

(2) An electrologist may use laser or light-based devices
for hair removal or reduction only if they:

(a) Have completed training in:

1. No change.

2. Needle-type epilators combined with laser and light-
based hair removal and reduction that meets the curriculum
standards of rule 64B8-53.002, F.A.C., and have passed a
licensure examination approved by the Board in rule 64B8-
51.002, F.A.C., that tests both epilator and laser and light-based
modalities;

(b) Through (c) No change.

(3)(a) Through (b) No change.

- (4)(a) Through (b) No change.
- (5) No change.
- (6) No change.

Rulemaking Authority 458.331(1)(v), 478.43(1), (4) FS. Law Implemented 458.331(1)(v), 458.348(3), 478.42(5), 478.43(1), (3), (4) FS. History—New 9-12-01, Amended 2-28-02, 7-23-06, 3-12-08, 11-4-14, 2-15-17, 3-14-19,\_\_\_\_\_.

NAME OF PERSON ORIGINATING PROPOSED RULE:  
The Board of Medicine Council of Electrolysis  
NAME OF AGENCY HEAD WHO APPROVED THE PROPOSED RULE: The Board of Medicine Council of Electrolysis  
DATE PROPOSED RULE APPROVED BY AGENCY HEAD: August 2, 2019  
DATE NOTICE OF PROPOSED RULE DEVELOPMENT PUBLISHED IN FAR: September 5, 2019

**DEPARTMENT OF HEALTH**

**Board of Osteopathic Medicine**

RULE NO.: RULE TITLE:  
64B15-19.002 Violations and Penalties  
64B15-19.0065 Notices of Noncompliance; Minor Violations

PURPOSE AND EFFECT: The proposed rule amendments are intended to address additional disciplinary violations and penalties and violations which are appropriate for issuance of notices of noncompliance.

SUMMARY: The proposed rule amendments set forth additional violation penalties and guidelines and outline additional violations and penalties appropriate for issuance of notices of noncompliance.

**SUMMARY OF STATEMENT OF ESTIMATED REGULATORY COSTS AND LEGISLATIVE RATIFICATION:**

The Agency has determined that this will not have an adverse impact on small business or likely increase directly or indirectly regulatory costs in excess of \$200,000 in the aggregate within one year after the implementation of the rule. A SERC has not been prepared by the Agency.

The Agency has determined that the proposed rule is not expected to require legislative ratification based on the statement of estimated regulatory costs or if no SERC is required, the information expressly relied upon and described herein: During discussion of the economic impact of this rule at its Board meeting, the Board concluded that this rule change will not have any impact on licensees and their businesses or the businesses that employ them. The rule will not increase any fees, business costs, personnel costs, will not decrease profit opportunities, and will not require any specialized knowledge to comply. This change will not increase any direct or indirect regulatory costs. Hence, the Board determined that a Statement

of Estimated Regulatory Costs (SERC) was not necessary and that the rule will not require ratification by the Legislature. No person or interested party submitted additional information regarding the economic impact at that time.

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: 120.695, 456.073(3), 456.079, 459.005 459.015(5), 459.0138 FS.

LAW IMPLEMENTED: 120.695, 381.986(4)(d), 456.072, 456.073(3), 456.079, 456.50, 459.015, 459.0138, FS.

IF REQUESTED WITHIN 21 DAYS OF THE DATE OF THIS NOTICE, A HEARING WILL BE SCHEDULED AND ANNOUNCED IN THE FAR.

THE PERSON TO BE CONTACTED REGARDING THE PROPOSED RULE IS: Kama Monroe, J.D., Executive Director, Board of Osteopathic Medicine/MQA, 4052 Bald Cypress Way, Bin # C06, Tallahassee, Florida 32399-3256.

**THE FULL TEXT OF THE PROPOSED RULE IS:**

64B15-19.002 Violations and Penalties. In imposing discipline upon applicants and licensees, the board shall act in accordance with the following disciplinary guidelines and shall impose a penalty within the range corresponding to the violations set forth below. The statutory language is intended to provide a description of the violation and is not a complete statement of the violation; the complete statement may be found in the statutory provision cited directly under each violation description.

(1) through (74) No change.		
(75) Failing to timely notify the Department of the theft of prescription blanks from a pain management clinic or a breach of an osteopathic physician's electronic prescribing software or other methods for prescribing within 24 hours as required by section 459.0137(3)(2)(d), F.S. (Section 459.015(1)(ss), F.S.)		

FIRST OFFENSE:	Letter of concern and a \$1,000.00 fine.	Probation and a \$5,000.00 fine.
SECOND OFFENSE:	Probation and a \$5,000.00 fine.	Suspension, followed by a period of probation, and a \$10,000.00 fine.
THIRD OFFENSE:	Suspension, followed by a period of probation, and a \$7,500.00 fine.	Revocation and a \$10,000.00 fine.
(76) through (84) No change.		
(85) Performing a liposuction procedure in which more than 1,000 cubic centimeters of supernatant fat is removed, a Level II office surgery, or a Level III office surgery in an office that is not registered with the department pursuant to s. 458.328 or 459.0138, F.S. (Section 459.015(1)(xx), F.S.)		
FIRST OFFENSE:	Twelve (12) months probation and an administrative fine of \$5,000.00 per day.	Twelve (12) months suspension followed by a term of probation and an administrative fine of \$5,000.00 per day.
SECOND OFFENSE:	Twelve (12) months suspension followed by a term of probation and permanent restriction from performing office surgery and an administrative fine of \$5,000.00 per day.	Revocation and an administrative fine of \$5,000.00 per day.
THIRD OFFENSE:	Eighteen (18) months suspension followed by a term of probation	Revocation and an administrative fine of \$5,000.00

	and permanent restriction from performing office surgery and an administrative fine of \$5,000.00 per day.	per day.
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Rulemaking Authority 456.079, 459.015(5), 459.0138, FS. Law Implemented 381.986(4)(d), 456.072, 456.079, 456.50, 459.015, 459.0138, FS. History—New 9-30-87, Amended 10-28-91, 1-12-93, Formerly 21R-19.002, 61F9-19.002, 59W-19.002, Amended 2-2-98, 2-11-01, 6-7-01, 2-26-02, 12-7-05, 11-14-06, 11-27-06, 5-10-10, 7-27-10, 11-10-11, 3-27-12, 7-3-12, 1-1-15, 11-27-16, 4-30-18, 8-9-18,

64B15-19.0065 Notices of Noncompliance; Minor Violations.

(1) No change.

(2) The following violations are those for which the Board authorizes the Department to issue a notice of noncompliance.

(a) No change.

(b) Failure to perform one of the following statutory or legal obligations:

1. through 7. No change.

8. Failure to comply with the provisions of Section 456.44(7)(c), F.S., to inform the patient of nonopioid alternatives for the treatment of pain, to discuss the advantages and disadvantages of the use of nonopioid alternatives, to provide the Department’s educational pamphlet, or to document the nonopioid alternatives in the patient’s record.

(c) through (d) No change.

Rulemaking Authority 120.695, 456.073(3), 459.005 FS. Law Implemented 120.695, 456.073(3) FS. History—New 1-19-17, Amended 8-9-18, \_\_\_\_\_.

NAME OF PERSON ORIGINATING PROPOSED RULE: Board of Osteopathic Medicine

NAME OF AGENCY HEAD WHO APPROVED THE PROPOSED RULE: Board of Osteopathic Medicine

DATE PROPOSED RULE APPROVED BY AGENCY HEAD: August 23, 2019

DATE NOTICE OF PROPOSED RULE DEVELOPMENT PUBLISHED IN FAR: September 4, 2019

**Section III**  
**Notice of Changes, Corrections and**  
**Withdrawals**

**DEPARTMENT OF BUSINESS AND PROFESSIONAL REGULATION**

**Drugs, Devices and Cosmetics**

RULE NO.: RULE TITLE:  
61N-1.011 Wholesale Distribution of Prescription  
Drugs - Exceptions and Specific  
Distributions Authorized  
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. 45 No. 159, August 15, 2019 issue of the Florida Administrative Register.

61N-1.011 Wholesale Distribution of Prescription Drugs – Exceptions and Specific Distributions Authorized

(1) The exemption from the definition of wholesale distribution in section 499.003(48)(b)2., F.S., for “emergency medical reasons” includes:

(a) through (d) No change.

(e) Transfers of prescription drugs in an emergency declared pursuant to Section 252.36, F.S. until the state of emergency is lifted, under the following conditions:

1. The manufacturer, wholesaler, or other person supplying the prescription drugs is authorized by Florida law to distribute prescription drugs in or into Florida; and either:

~~a.2.~~ The prescription drugs are delivered to a temporary emergency medical station, officially designated by the state emergency operation center as a Disaster Medical Assistance Team or State Medical Response Team site; or

~~b.3.~~ The prescription drugs are delivered to a Pharmacy licensed under chapter 465, F.S.;

2. The prescription drugs are transferred by a prescription drug wholesale distributor located outside of this state and not permitted by the Department on behalf of a prescription drug wholesale distributor located in the State of Florida for the purposes of supplying prescription drugs to authorized customers located in Florida, if the out-of-state prescription drug wholesale distributor meets the following conditions:

a. The out-of-state prescription drug wholesale distributor holds a current and active license as a wholesale distributor in its resident state, or is currently licensed as a prescription drug wholesale distributor pursuant to the federal act; and

b. The Florida prescription drug wholesale distributor holds a current and active prescription drug wholesale distributor permit with the Department; and

c. Both the in-state and out-of-state prescription drug wholesale distributors are under common ownership. For the purposes of this subsection, “common ownership” means that one prescription drug wholesale distributor owns the other prescription drug wholesale distributor or both prescription drug wholesale distributors share a common owner or ultimate parent company that has the authority to control the management and operations of both entities; and

d. The permitted Florida prescription drug wholesale distributor shall be responsible for ensuring the activities of the out-of-state prescription drug wholesale distributor conducted in Florida on its behalf during the state of emergency are in compliance with applicable Florida and federal requirements; and

e. The distributions of prescription drugs pursuant to this section shall terminate no more than thirty (30) days after the expiration of the state of emergency.

(f) through (j) No change.

~~(k) The distribution of a prescription drug during a state of emergency declared by the Governor pursuant to s. 252.36, F.S., by a prescription drug wholesale distributor located outside of this state and not permitted by the Department on behalf of a prescription drug wholesale distributor located in the State of Florida for the purposes of supplying prescription drugs to authorized customers located in Florida, if the out of state prescription drug wholesale distributor meets the following conditions:~~

~~1. The out-of-state prescription drug wholesale distributor holds a current and active license as a wholesale distributor in its resident state, or is currently licensed as a prescription drug wholesale distributor pursuant to the federal act;~~

~~2. The Florida prescription drug wholesale distributor holds a current and active prescription drug wholesale distributor permit with the Department;~~

~~3. Both the in state and out of state prescription drug wholesale distributors are under common ownership. For the purposes of this subsection, “common ownership” means that one prescription drug wholesale distributor owns the other prescription drug wholesale distributor or both prescription drug wholesale distributors share a common owner or ultimate parent company that has the authority to control the management and operations of both entities.~~

~~4. The permitted Florida prescription drug wholesale distributor shall be responsible for ensuring the activities of the out of state prescription drug wholesale distributor conducted in Florida on its behalf during the state of emergency are in compliance with applicable Florida and federal requirements.~~

~~5. The distributions of prescription drugs pursuant to this section shall terminate no more than thirty (30) days after the expiration of the state of emergency.~~

(2) through (4) No change.

**DEPARTMENT OF FINANCIAL SERVICES**

**Securities**

<b>RULE NO.:</b>	<b>RULE TITLE:</b>
69W-600.001	Application for Registration as a Dealer (FINRA)
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)

**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. 45 No. 157, August 13, 2019 issue of the Florida Administrative Register.

69W-600.001 Application for Registration as a Dealer (FINRA).

(1) New Applications.

(a) No change.

(b) An application shall include the following:

1. through 5. No change.

6. Any direct or indirect owner or control person required to be reported on Form BD, pursuant to section 517.12(7), F.S., who is not currently registered with the firm they are seeking to join or act as a direct or indirect owner or control person shall comply with the fingerprinting requirements in accordance with subsection ~~(7)(8)~~ of this rule; and,

7. No change.

(2) No change.

~~(3) Burden of Proof. It is the applicant's responsibility to prove that the statutory and regulatory requirements warranting granting of the application for registration as a dealer are met.~~

~~(3)(4) Amendment of Application. If the information contained in any application for registration as a dealer or in any amendment thereto, becomes inaccurate for any reason, the dealer shall file an amendment on the Form BD correcting such information within 30 days. An applicant may amend the application as to those factors generally within the control or selection of the applicant once, as a matter of course, at any time within thirty (30) days from its receipt for filing. Otherwise, the application may be amended only with prior permission from the Office.~~ For applicants and registrants that are members

of the FINRA, each such amendment, including those required by subsections ~~(10)(11)~~ and ~~(11)(12)~~ of this rule, shall be filed with the Office through the CRD system. ~~If an amendment requires additional review by the Office, and the Office's additional review cannot be completed before the 90 day time period of section 120.60(1), F.S., the application shall be subject to denial, and a new application, accompanied by the appropriate filing fee, may be required.~~

~~(4)(5) Obligations Related to Acts of Associated Persons.~~

A dealer shall be responsible for the acts, practices, and conduct of their registered associated persons in connection with the purchase and sale of securities or in connection with the rendering of investment advice until such time as they have been properly terminated as provided in this rule; and such dealer may be subject to assessment under section 517.12(11), F.S., for such associated persons as have been terminated but for whom the appropriate termination notices have not been filed at date of license renewal.

~~(5)(6) Requirement to Maintain Principal.~~

(a) through (b) No change.

(c) Any applicant or registrant dealer may elect to register more than one person as principal; there is no limitation as to the number of associated persons that may be registered as principal as long as such persons meet the qualification standards as prescribed in subsection ~~(6)(7)~~ of this rule, and the appropriate fees as specified in section 517.12(10), F.S., have been paid.

~~(6)(7) Examinations/Qualifications Requirements.~~

(a) through (b) No change.

~~(7)(8) Fingerprint Requirements.~~

(a) through (c) No change.

~~(8)(9) Renewal Requirement.~~

(a) No change.

(b) In addition to verifying registration or notice-filings as provided in paragraph ~~(8)(9)(a)~~, to renew its registration and the registrations of its associated persons and branch office notice-filings, each dealer shall pay all renewal fees as required by sections 517.12(11) and 517.1202(3), F.S.

(c) No change.

(d) For FINRA members, failure to submit the requisite amount of fees as provided for in paragraph ~~(8)(9)(b)~~, by December 31 of the year of expiration of the registration shall result in the firm registration, agent registration or branch office notice-filing not being renewed. If December 31 falls on a Saturday, Sunday or legal holiday pursuant to section 110.117, F.S., the renewals received on the next business day shall be considered timely received. However, an expired registration or notice-filing may be reinstated in accordance with the provisions of section 517.12(11) or 517.1202(3), F.S., provided that all requisite information and fees are date stamped by the cashier's office of the Department of Financial Services on or

before January 31 of the year following the year of expiration. Failure to submit the requisite amount of fees necessary to reinstate registration or notice-filing by January 31 of the year following the year of expiration shall result in such registration or notice-filing not being reinstated. If January 31 falls on a Saturday, Sunday, or legal holiday pursuant to section 110.117, F.S., the reinstatement received on the next business day shall be considered timely received. In the event that the renewal or reinstatement is withdrawn or not granted, any fees filed to renew or reinstate registration or notice-filing shall become the revenue of the state pursuant to the provisions of section 517.12(10) or 517.1202(8), F.S., and shall not be returnable.

~~(9)(10)~~ Termination of Registration as Dealer, Principal or Agent, or Notification of Branch Office.

(a) Where a registrant withdraws, cancels, or otherwise terminates registration, or is terminated for any reason, notice of such fact shall be electronically filed with the Office through the CRD on the forms incorporated in paragraph ~~(9)(10)~~(c) of this rule, within thirty (30) calendar days of the date of termination.

(b) No change.

(c) The forms to be utilized for providing notice to the Office under paragraph ~~(9)(10)~~(a) are:

1. through 3. No change.

~~(10)(11)~~ Notice of Civil, Criminal or Administrative Action. A dealer shall:

(a) No change.

(b) Notify the Office within thirty (30) calendar days of the date of decision, order, or sanction rendered, or any appeal filed with respect to such decision with regard to any complaint outlined in paragraph ~~(10)(11)~~(a).

(c) Such notifications shall be filed with the Office through the CRD of the FINRA in accordance with subsection ~~(3)(4)~~ of this rule. When specifically requested by the Office pursuant to section 517.021, F.S., one (1) copy of such complaint, answer or reply to any complaint, decision, order, or sanction shall be filed directly with the Office. Responses to requests by the Office for additional information shall be filed directly with the Office.

~~(11)(12)~~ Changes in Name and Successor Registration Requirements.

(a) Where only a change in the name of an applicant or registrant as dealer occurs, notices of such fact shall be filed as an amendment on the forms prescribed by the Office within thirty (30) calendar days of the date of such change. For registrants who are members of the FINRA, such amendment shall be filed with the Office through the CRD pursuant to subsection ~~(3)(4)~~ of this rule. Any amendments to organizational documents or accompanying letters of explanation shall be submitted directly to the Office within 30 days when specifically requested by the Office.

(b) Where there is a change in legal entity of a proprietary, partnership, or corporate registrant, the successor entity shall file with the Office an amendment to the Form BD within thirty (30) calendar days of the date of such change. For registrants who are members of FINRA, such amendment shall be filed with the Office through the CRD pursuant to subsection ~~(3)(4)~~ of this rule. Any amendments to organizational documents, accompanying letters of explanation, or current financial statements of the successor shall be submitted directly to the Office within 30 days when specifically requested by the Office.

(c) Merger Situations: Where there is a merger of dealer registrants involving the assumption by the successor of substantially all assets and liabilities of the merged entities and the continuation of the activities of the merged entities' successor entity, the merging entities shall file notification with the Office denoting such changes as are applicable within thirty (30) calendar days prior to the date of such change. The successor entity shall file an amendment to Form BD denoting such changes as are applicable within thirty (30) calendar days of date of such change. For registrants who are members of FINRA, each amendment shall be filed with the Office through the CRD pursuant to subsection ~~(3)(4)~~ of this rule. A copy of the plan of merger/merger agreement, amended organizational documents, accompanying letters of explanation, or current financial statements of the successor (merged) entity shall be submitted directly to the Office within 30 days when specifically requested by the Office pursuant to section 517.201, F.S.

(d) Change of Control:

1. No change.

2. Where a person or a group of persons directly or indirectly or acting by or through one or more persons, proposes to acquire a controlling interest in a dealer or investment adviser registrant, and where the acquirer has within the preceding 10 years committed any reportable act as defined in rule 69W-200.001, F.A.C., and is not currently registered with the Office, the resulting entity shall, prior to such acquisition, file with the Office a new application for registration on the forms prescribed by the Office, together with all required exhibits and fees. Additionally, there shall be filed with the Office, at the time the new application is filed, a notice of withdrawal, termination or cancellation of registration of the acquired entity on the forms prescribed by the Office, effective upon disposition of the new application by the Office. The Office may waive the requirements of this subsection where the Office determines it is not necessary, based upon the nature and substance of the proposed acquirer's disciplinary history and experience, to require the filing of a new application for registration. Any person who receives a waiver of this

subsection shall effect such change of control in compliance with the provisions of subparagraph ~~(11)(12)~~(d)1.

3. No change.

(e) For the purposes of paragraphs ~~(11)(12)~~ (b) and ~~(11)(12)~~(c) of this rule, in the event that a person(s) succeeds to and continues the business of a Florida registered dealer, the registration of the predecessor shall be deemed to remain effective as the registration of the successor for a period of thirty (30) calendar days after such succession, provided that an amendment to Form BD together with the accompanying documents when requested by the Office pursuant to section 517.201, F.S., is filed by the successor within thirty (30) calendar days after such succession.

(f) For the purposes of paragraphs ~~(11)(12)~~(a), ~~(11)(12)~~(b), ~~(11)(12)~~(c), and ~~(11)(12)~~(d) of this rule, the effective registration of all associated persons and branch office notice-filings affiliated with the affected dealer registrant shall be transferred to the successor entity by the Office without necessitating the filing of new applications on behalf of such associated persons and notice-filings of such branch offices, unless notice of termination is filed for such persons and branch offices by the successor pursuant to subsection ~~(9)(10)~~ of this rule.

*Rulemaking Authority 517.03(1), 517.12 FS. Law Implemented 517.12 FS. History—New 12-5-79, Amended 9-20-82, Formerly 3E-600.01, Amended 7-29-90, 8-1-91, 6-16-92, 1-11-93, 11-14-93, 4-30-96, 6-22-98, 5-10-00, 9-19-00, 7-31-02, Formerly 3E-600.001, Amended 3-16-06, 5-15-07, 11-22-10, 10-29-12, 11-11-13, 12-29-15, \_\_\_\_\_.*

69W-600.0012 Application for Registration as a Dealer (Non-FINRA).

(1) New Applications.

(a) No change.

(b) An application shall include the following:

1. through 5. No change.

6. Any direct or indirect owner or control person required to be reported on Form BD, pursuant to section 517.12(7), F.S., shall comply with the fingerprinting requirements in accordance with subsection ~~(7)(8)~~ of this rule; and,

7. No change.

(2) No change.

~~(3) Burden of Proof. It is the applicant's responsibility to prove that the statutory and regulatory requirements warranting granting an application for registration as a dealer are met.~~

~~(3)(4) Amendment of Application. If the information contained in any application for registration as a dealer or in any amendment thereto, becomes inaccurate for any reason, the dealer shall file an amendment on the Form BD, correcting such information within 30 days. An applicant may amend the application as to those factors generally within the control or selection of the applicant once, as a matter of course, at any time~~

~~within 30 days from its receipt for filing. Otherwise, the application may be amended only with prior permission from the Office. Applicants and registrants shall file such amendments, including those required by subsection ~~(11)(12)~~ of this rule, directly with the Office electronically through the REAL System. If an amendment requires additional review by the Office, and the Office's additional review cannot be completed before the 90 day time period of section 120.60(1), F.S., the application shall be subject to denial, and a new application, accompanied by the appropriate filing fee, may be required.~~

~~(4)(5) Obligations Related to Acts of Associated Persons. A dealer shall be responsible for the acts, practices, and conduct of their registered associated persons in connection with the purchase and sale of securities or in connection with the rendering of investment advice until such time as they have been properly terminated as provided in this rule; and such dealer may be subject to assessment under section 517.12(11), F.S., for such associated persons as have been terminated but for whom the appropriate termination notices have not been filed at date of license renewal.~~

~~(5)(6) Requirement to Maintain Principal.~~

(a) through (b) No change.

(c) Any applicant or registrant dealer may elect to register more than one person as principal; there is no limitation as to the number of associated persons that may be registered as principal as long as such persons meet the qualification standards as prescribed in subsection ~~(6)(7)~~ of this rule, and the appropriate fees as specified in section 517.12(10), F.S., have been paid.

~~(6)(7) Examinations/Qualifications Requirements.~~

(a) through (b) No change.

~~(7)(8) Fingerprint Requirements.~~

(a) through (c) No change.

~~(8)(9) Renewal Requirement.~~

(a) No change.

(b) In addition to verifying registration or notice-filings as provided in paragraph ~~(8)(9)~~(a), to renew its registration and the registrations of its associated persons and branch office notice-filings, each dealer shall pay all renewal fees as required by sections 517.12(11) and 517.1202(3), F.S.

(c) No change.

(d) For dealers that are not members of FINRA, failure to submit the requisite amount of fees as provided for in paragraph ~~(8)(9)~~(b), by December 31 of the year of expiration of the registration, shall result in the firm registration, agent registration, or notice-filing not being renewed. If December 31 falls on a Saturday, Sunday or legal holiday pursuant to section 110.117, F.S., the renewals received on the next business day shall be considered timely received. However, an expired registration or notice-filing may be reinstated in accordance

with section 517.12(11) or 517.1202(3), F.S., provided that all requisite information and fees are filed electronically on the Office's website at <https://real.flofr.com> through the REAL System on or before January 31 of the year following the year of expiration. Failure to submit the requisite amount of fees necessary to reinstate registration by January 31 of the year following the year of expiration shall result in such registration or notice-filing not being reinstated. If January 31 falls on a Saturday, Sunday, or legal holiday pursuant to section 110.117, F.S., the reinstatement received on the next business day shall be considered timely received. If the renewal or reinstatement is withdrawn or not granted, any fees filed to renew or reinstate registration or notice-filing shall become the revenue of the state pursuant to the provisions of section 517.12(10) or 517.1202(8), F.S., and shall not be returnable.

~~(9)(10)~~ Termination of Registration as Dealer, Principal or Agent, or Notification of Branch Office.

(a) Where a registrant withdraws, cancels, or otherwise terminates registration, or is terminated for any reason, notice of such fact shall be electronically filed with the Office through the REAL System on the forms incorporated in paragraph ~~(9)(10)~~(c) of this rule, within thirty (30) calendar days of the date of termination. Such forms shall be filed electronically in accordance with this rule.

(b) No change.

(c) The forms to be utilized for providing notice to the Office under paragraph ~~(9)(10)~~(a), and which are hereby incorporated by reference are:

1. through 3. No change.

~~(10)(11)~~ Notice of Civil, Criminal or Administrative Action. A broker dealer shall:

(a) No Change.

(b) Notify the Office within thirty (30) calendar days of the date of decision, order, or sanction rendered, or any appeal filed with respect to such decision with regard to any complaint outlined in paragraph ~~(10)(11)~~(a).

(c) Such notifications shall be filed with the Office through the REAL System in accordance with subsection ~~(3)(4)~~ of this rule. When specifically requested by the Office pursuant to section 517.021, F.S., one (1) copy of such complaint, answer or reply to any complaint, decision, order, or sanction shall be filed with the Office through the REAL System. Responses to requests by the Office for additional information shall be filed directly with the Office through the REAL System.

~~(11)(12)~~ Changes in Name and Successor Registration Requirements.

(a) through (c) No change.

(d) Change of Control:

1. No change.

2. Where a person or a group of persons directly or indirectly or acting by or through one or more persons, proposes

to acquire a controlling interest in a dealer or investment adviser registrant, and where the acquirer has within the preceding 10 years committed any reportable act as defined in rule 69W-200.001, F.A.C., and is not currently registered with the Office, the resulting entity shall, prior to such acquisition, file with the Office a new application for registration on the forms prescribed by the Office, together with all required exhibits and fees. Additionally, there shall be filed with the Office, at the time the new application is filed, a notice of withdrawal, termination or cancellation of registration of the acquired entity on the forms prescribed by the Office, effective upon disposition of the new application by the Office. The Office may waive the requirements of this subsection where the Office determines it is not necessary, based upon the nature and substance of the proposed acquirer's disciplinary history and experience, to require the filing of a new application for registration. Any person who receives a waiver of this subsection shall effect such change of control in compliance with the provisions of subparagraph ~~(11)(12)~~(d)1.

3. No change.

(e) For the purposes of paragraphs ~~(11)(12)~~(b) and ~~(11)(12)~~(c) of this rule, in the event that a person(s) succeeds to and continues the business of a Florida registered dealer, the registration of the predecessor shall be deemed to remain effective as the registration of the successor for a period of thirty (30) calendar days after such succession, provided that an amendment to Form BD together with the accompanying documents when requested by the Office pursuant to section 517.201, F.S., is filed by the successor within thirty (30) calendar days after such succession.

(f) For the purposes of paragraphs ~~(11)(12)~~(a), ~~(11)(12)~~(b), ~~(11)(12)~~(c), and ~~(11)(12)~~(d) of this rule, the effective registration of all associated persons and branch office notice-filings affiliated with the affected dealer registrant shall be transferred to the successor entity by the Office without necessitating the filing of new applications on behalf of such associated persons and notice-filings of such branch offices, unless notice of termination is filed for such persons and branch offices by the successor pursuant to subsection ~~(9)(10)~~ of this rule.

*Rulemaking Authority 517.03(1), 517.12 FS. Law Implemented 517.12 FS. History—New 12-29-15, Amended \_\_\_\_\_.*

69W-600.0013 Application for Registration as an Issuer/Dealer.

(1) New Applications.

(a) No change.

(b) An application shall include the following:

1. through 4. No change.

5. Any direct or indirect owner or control person required to be reported on Form BD, pursuant to section 517.12(7), F.S.,



who is not currently registered in Florida with the firm they are seeking to join or act as a direct or indirect owner or control person shall comply with the fingerprinting requirements in accordance with subsection ~~(7)(8)~~ of this rule;

6. Applicants for registration as an issuer/dealer must file Issuer/Dealer Compliance Form (OFR-DA-5-91) (effective 9/15), to meet requirements under subsections ~~(5)(6)~~, ~~(6)(7)~~, and ~~(11)(12)~~ of this rule. The form is hereby incorporated by reference and is available at <http://www.flrules.org/Gateway/reference.asp?No=Ref-06081>;

7. No change.

(2) No change.

~~(3) Burden of Proof. It is the applicant's responsibility to prove that the statutory and regulatory requirements granting an application for registration as an issuer/dealer are met.~~

~~(3)(4) Amendment of Application. If the information contained in any application for registration as an issuer/dealer or in any amendment thereto, becomes inaccurate for any reason, the issuer/dealer shall file an amendment on the Form BD correcting such information within 30 days. An applicant may amend the application as to those factors generally within the control or selection of the applicant once, as a matter of course, at any time within thirty (30) days from its receipt for filing. Otherwise, the application may be amended only with prior permission from the Office. Applicants and registrants shall file such amendments directly with the Office electronically through the REAL System. If an amendment requires additional review by the Office, and the Office's additional review cannot be completed before the 90-day time period of section 120.60(1), F.S., the application shall be subject to denial, and a new application, accompanied by the appropriate filing fee, may be required.~~

~~(4)(5) Obligations Related to Acts of Associated Persons. An issuer/dealer shall be responsible for the acts, practices, and conduct of their registered associated persons in connection with the purchase and sale of securities or in connection with the rendering of investment advice until such time as they have been properly terminated as provided in this rule; and such issuer/dealer may be subject to assessment under section 517.12(11), F.S., for such associated persons as have been terminated but for whom the appropriate termination notices have not been filed at date of license renewal.~~

~~(5)(6) Requirement to Maintain Principal and Exam Exemption for Associated Persons.~~

(a) An issuer required to be registered or who elects to be registered pursuant to section 517.12(1), 517.051(9) or 517.061(11), F.S., selling its own securities exclusively through its principals or agents (as those terms are defined in section 517.021, F.S., and rule 69W-200.001, F.A.C., respectively) may obtain registration as an issuer/dealer by filing as required

under subsection (1) or ~~(11)(12)~~ of this rule, or rule 69W-500.011, F.A.C., as appropriate, provided that:

1. The associated persons of said issuer/dealer comply with the registration requirements of section 517.12, F.S., and subsections ~~(6)(7)~~ and ~~(7)(8)~~ of this rule, provided that such person primarily performs, or is intended to perform at the end of the distribution, substantial duties for, or on behalf of, the issuer other than in connection with transactions in securities; and,

2. Said issuer/dealer may register up to five (5) associated persons, which persons shall be exempted from the examination requirements of subsection ~~(6)(7)~~ of this rule, provided such issuer/dealer shall register no more than five (5) associated persons, and at the time of application for registration advises the Office of its intention to register no more than five (5) associated persons. Failure to so advise the Office shall require all associated person applicants to fulfill the examination requirements of subsection ~~(6)(7)~~ of this rule. Registration of more than five (5) such associated persons, at any one time, shall void this exemption, and all such associated persons shall be required to meet the examination requirements of subsection ~~(6)(7)~~ of this rule.

(b) Every applicant for registration and registrant under section 517.12, F.S., as an issuer/dealer (as those terms are defined under section 517.021, F.S.), unless effectively registered with the Office as an issuer/dealer prior to December 4, 1977, shall have and maintain at least one associated person qualified and registered as principal pursuant to section 517.12, F.S., and the rules thereunder.

1. No change.

2. Any applicant or registrant issuer/dealer may elect to register more than one person as principal; there is no limitation as to the number of associated persons that may be registered as principal as long as such persons meet the qualification standards as prescribed in subsection ~~(6)(7)~~ of this rule, and the appropriate fees as specified in section 517.12(10), F.S., have been paid.

~~(6)(7) Examinations/Qualifications Requirements.~~

(a) through (c) No change.

~~(7)(8) Fingerprint Requirements.~~

(a) through (b) No change.

~~(8)(9) Renewal Requirement.~~

(a) No change.

(b) In addition to verifying registration or notice-filings as provided in paragraph ~~(8)(9)(a)~~, to renew its registration and the registrations of its associated persons and branch office notice-filings, each issuer/dealer shall pay all renewal fees as required by sections 517.12(11) and 517.1202(3), F.S.

(c) No change.

(d) For issuer/dealers, failure to submit the requisite amount of fees as provided for in paragraph ~~(8)(9)(b)~~, by

December 31 of the year of expiration of the registration shall result in the firm registration, agent registration, or branch office notice-filing not being renewed. If December 31 falls on a Saturday, Sunday or legal holiday pursuant to section 110.117, F.S., the renewals received on the next business day shall be considered timely received. However, an expired registration or notice-filing may be reinstated in accordance with section 517.12(11) or 517.1202(3), F.S., provided that all requisite information and fees are filed electronically on the Office's website at <https://real.flofr.com> through the REAL System on or before January 31 of the year following the year of expiration. Failure to submit the requisite amount of fees necessary to reinstate registration by January 31 of the year following the year of expiration shall result in such registration or notice-filing not being reinstated. If January 31 falls on a Saturday, Sunday, or legal holiday pursuant to section 110.117, F.S., the reinstatement received on the next business day shall be considered timely received. If the renewal or reinstatement is withdrawn or not granted, any fees filed to renew or reinstate registration or notice-filing shall become the revenue of the state pursuant to the provisions of section 517.12(10) or 517.1202(8), F.S., and shall not be returnable.

~~(9)(10)~~ Termination of Registration as Issuer/Dealer, Principal or Agent, or Notification of Branch Office.

(a) Where a registrant withdraws, cancels, or otherwise terminates registration, or is terminated for any reason, notice of such fact shall be electronically filed with the Office through the REAL System using the forms incorporated in paragraph ~~(9)(10)~~(c) of this rule, within thirty (30) calendar days of the date of termination.

(b) No change.

(c) The forms to be utilized for providing notice to the Office under paragraphs ~~(9)(10)~~(a) and ~~(9)(10)~~(b) are:

1. through 3. No change.

~~(10)(11)~~ Notice of Civil, Criminal or Administrative Action. An issuer/dealer shall:

(a) No change.

(b) Notify the Office within thirty (30) calendar days of the date of decision, order, or sanction rendered, or any appeal filed with respect to such decision with regard to any complaint outlined in paragraph ~~(10)(11)~~(a).

(c) Such notifications shall be filed with the Office through the REAL System in accordance with subsection ~~(3)(4)~~ of this rule. When specifically requested by the Office pursuant to section 517.021, F.S., one (1) copy of such complaint, answer or reply to any complaint, decision, order, or sanction shall be filed with the Office through the REAL System. Responses to requests by the Office for additional information shall be filed directly with the Office through the REAL System.

~~(11)(12)~~ Registration of Issuer as an Issuer/Dealer under Section 517.051(9), F.S. An issuer of securities who elects to

offer or sell its own securities pursuant to section 517.051(9), F.S., is required to be registered as an issuer/dealer pursuant to section 517.12(2), F.S. The issuer shall comply with the rules of the Commission for registration as an issuer/dealer as set forth under subsection (1) of this rule, in addition to the following requirements:

(a) through (c) No change.

*Rulemaking Authority 517.03(1), 517.12 FS. Law Implemented 517.12 FS. History—New 12-29-15, Amended \_\_\_\_\_.*

69W-600.0016 Application for Registration as an Investment Adviser (State Registered).

(1) New Applications.

(a) No change.

(b) An application shall include the following:

1. through 4. No change.

5. Any direct or indirect owner or control person required to be reported on Form ADV, pursuant to section 517.12(7), F.S., who is not currently registered in Florida with the firm they are seeking to join or act as a direct or indirect owner or control person shall comply with the fingerprinting requirements in accordance with subsection ~~(7)(8)~~ of this rule; and,

6. No change.

(2) No change.

~~(3) Burden of Proof. It is the applicant's responsibility to prove that the statutory and regulatory requirements warranting granting of the application for registration as an investment adviser are met.~~

~~(3)(4) Amendment of Application. If the information contained in any application for registration as an investment adviser or in any amendment thereto, becomes inaccurate for any reason, the investment adviser shall file an amendment on the Form ADV correcting such information within 30 days. An applicant may amend the application as to those factors generally within the control or selection of the applicant once, as a matter of course, at any time within thirty (30) days from its receipt for filing. Otherwise, the application may be amended only with prior permission from the Office. For investment adviser applicants and registrants who file via the IARD, each such amendment, including those required by subsection ~~(11)(12)~~ of this rule, shall be filed with the Office through the IARD in accordance with this rule. If an amendment requires additional review by the Office, and the Office's additional review cannot be completed before the 90-day time period of section 120.60(1), F.S., the application shall be subject to denial, and a new application, accompanied by the appropriate filing fee, may be required.~~

~~(4)(5) Obligations Related to Acts of Associated Persons. An investment adviser shall be responsible for the acts, practices, and conduct of their registered associated persons in~~

connection with the purchase and sale of securities or in connection with the rendering of investment advice until such time as they have been properly terminated as provided in this rule; and such adviser may be subject to assessment under section 517.12(11), F.S., for such associated persons as have been terminated but for whom the appropriate termination notices have not been filed at date of license renewal.

~~(5)(6)~~ Requirement to Maintain Principal.

(a) through (b) No change.

(c) Any applicant or registrant investment adviser may elect to designate more than one person as principal; there is no limitation as to the number of associated persons that may be designated as principal as long as such persons meet the qualification standards as prescribed in subsection ~~(6)(7)~~ of this rule, and the appropriate fees as specified in section 517.12(10), F.S., have been paid.

~~(6)(7)~~ Examinations/Qualifications Requirements.

(a) No change.

(b) An individual applying to be registered as an investment adviser shall provide the Office with ~~proof of passing, within two years of the date of application for registration,~~ one of the following examinations:

1. Proof of passing, within two years of the date of application for registration, the ~~The~~ Uniform Investment Adviser Law Examination (Series 65); or

2. Proof of passing, within two years of the date of application for registration, the ~~The~~ General Securities Representative Examination (Series 7), ~~and~~ the Uniform Combined State Law Examination (Series 66), ~~;~~ and

~~3-~~ proof ~~Proof~~ of passing, within four years of the date of application for registration, the Securities Industry Essentials (SIE) Examination. The following individuals will be considered to have passed the SIE Examination:

~~a. A-~~ Individuals whose registration as a representative was terminated between October 1, 2014, and September 30, 2018, provided they re-register as a representative within four years from the date of their last registration;

~~b. B-~~ Individuals who registered as representatives prior to October 1, 2018, and who continue to maintain those registrations on or after October 1, 2018.

(c) Grandfathering Provisions:

1. Any individual who is or has been registered as an investment adviser or investment adviser representative in any jurisdiction in the United States requiring examinations designated in paragraph ~~(6)(7)(b)~~, within two years of the date of application for registration shall not be required to satisfy the examination requirements for continued registration except that the Office may require additional examinations for any individual found to have violated any state or federal securities law.

2. An individual who has not been registered in any jurisdiction in the United States requiring examinations designated in paragraph ~~(6)(7)(b)~~, as an investment adviser or investment adviser representative within two years of the date of application for registration shall be required to comply with the examination requirements of this rule.

(d) No change.

~~(7)(8)~~ Fingerprint Requirements.

(a) through (c) No change.

~~(8)(9)~~ Renewal Requirement.

(a) No change.

(b) In addition to verifying registration or notice-filings as provided in paragraph ~~(8)(9)(a)~~, to renew its registration and the registrations of its associated persons and branch office notice-filings, each investment adviser shall pay all renewal fees as required by sections 517.12(11) and 517.1202(3), F.S.

(c) No change.

(d) Failure to submit the requisite amount of fees as provided for in paragraph ~~(8)(9)(b)~~, by December 31 of the year of expiration of the registration shall result in the firm registration, agent registration, or branch office notice-filing not being renewed. If December 31 falls on a Saturday, Sunday or legal holiday pursuant to section 110.117, F.S., the renewals received on the next business day shall be considered timely received. However, an expired registration or notice-filing may be reinstated in accordance with the provisions of section 517.12(11) or 517.1202(3), F.S., provided that all requisite information and fees are date stamped by the cashier's office of the Department of Financial Services on or before January 31 of the year following the year of expiration. Failure to submit the requisite amount of fees necessary to reinstate registration or notice-filing by January 31 of the year following the year of expiration shall result in such registration or notice-filing not being reinstated. If January 31 falls on a Saturday, Sunday, or legal holiday pursuant to section 110.117, F.S., the reinstatement received on the next business day shall be considered timely received. In the event that the renewal or reinstatement is withdrawn or not granted, any fees filed to renew or reinstate registration or notice-filing shall become the revenue of the state pursuant to the provisions of section 517.12(10) or 517.1202(8), F.S., and shall not be returnable.

~~(9)(10)~~ Termination of Registration as an Investment Adviser, Agent, or Notification of Branch Office.

(a) Where a registrant withdraws, cancels, or otherwise terminates registration, or is terminated for any reason, notice of such fact shall be electronically filed with the Office using the forms incorporated in paragraph ~~(9)(10)(d)~~ of this rule, within thirty (30) calendar days of the date of withdrawal, cancellation, or termination.

(b) through (c) No change.

(d) The forms to be utilized for providing notice to the Office under paragraphs ~~(9)(10)~~(a) and ~~(9)(10)~~(b) are:

1. Notice of Withdrawal from Registration as Investment Adviser (Form ADV-W) (7-17). A sample form is hereby incorporated by reference and is available at <http://www.flrules.org/Gateway/reference.asp?No=Ref-XXXXX>.

2. Uniform Termination Notice for Securities Industry Registration (Form U5) (05/09). A sample form is hereby incorporated by reference and is available at <http://www.flrules.org/Gateway/reference.asp?No=Ref-06090>.

3. No change.

~~(10)(11)~~ Amendments to Form ADV. An investment adviser shall amend its Form ADV through the IARD at least annually, within 90 days of the end of its fiscal year; and more frequently, if required by the instructions to Form ADV. ~~The instructions to Form ADV (07-17) are hereby incorporated by reference and are available at~~ <http://www.flrules.org/Gateway/reference.asp?No=Ref-XXXXX>.

~~(11)(12)~~ Notice of Civil, Criminal or Administrative Action. An investment adviser shall:

(a) No change.

(b) Notify the Office within thirty (30) calendar days of the date of decision, order, or sanction rendered, or any appeal filed with respect to such decision with regard to any complaint outlined in paragraph ~~(11)(12)~~(a).

(c) Such notifications shall be filed with the Office through the IARD in accordance with subsection ~~(3)(4)~~ of this rule. When specifically requested by the Office pursuant to section 517.021, F.S., one (1) copy of such complaint, answer or reply to any complaint, decision, order, or sanction shall be filed directly with the Office. Responses to requests by the Office for additional information shall be filed directly with the Office.

~~(12)(13)~~ Changes in Name and Successor Registration Requirements.

(a) through (c) No change.

(d) Change of Control:

1. No change.

2. Where a person or a group of persons directly or indirectly or acting by or through one or more persons, proposes to acquire a controlling interest in a dealer or investment adviser registrant, and where the acquirer has within the preceding 10 years committed any reportable act as defined in rule 69W-200.001, F.A.C., and is not currently registered with the Office, the resulting entity shall, prior to such acquisition, file with the Office a new application for registration on the forms prescribed by the Office, together with all required exhibits and fees. Additionally, there shall be filed with the Office, at the time the new application is filed, a notice of withdrawal, termination or cancellation of registration of the acquired entity

on the forms prescribed by the Office, effective upon disposition of the new application by the Office. The Office may waive the requirements of this subsection where the Office determines it is not necessary, based upon the nature and substance of the proposed acquirer's disciplinary history and experience, to require the filing of a new application for registration. Any person who receives a waiver of this subsection shall effect such change of control in compliance with the provisions of subparagraph ~~(12)(13)~~(d)1.

3. No change.

(e) For the purposes of paragraphs ~~(12)(13)~~(b) and ~~(12)(13)~~(c) of this rule, in the event that a person(s) succeeds to and continues the business of a Florida registered dealer or investment adviser, the registration of the predecessor shall be deemed to remain effective as the registration of the successor for a period of thirty (30) calendar days after such succession, provided that an amendment to Form ADV together with the accompanying documents as prescribed heretofore, is filed by the successor within thirty (30) calendar days after such succession.

(f) For the purposes of paragraphs ~~(12)(13)~~(a), ~~(12)(13)~~(b), ~~(12)(13)~~(c), and ~~(12)(13)~~(d) of this rule, the effective registration of all associated persons and branch office notice-filings affiliated with the affected or investment adviser registrant shall be transferred to the successor entity by the Office without necessitating the filing of new applications on behalf of such associated persons and notice-filings of such branch offices, unless notice of termination is filed for such persons and branch offices by the successor pursuant to subsection ~~(9)(10)~~ of this rule.

*Rulemaking Authority 517.03(1), 517.12 FS. Law Implemented 517.12 FS. History—New 12-29-15, Amended \_\_\_\_\_.*

69W-600.002 Application for Registration as Associated Person (FINRA Dealer).

(1) New Applications.

(a) No change.

(b) An application shall include the following:

1. through 3. No change.

4. Evidence of examinations/qualifications set forth in subsection ~~(6)(7)~~ of this rule.

5. Fingerprints shall be submitted in accordance with section 517.12(7), F.S., and subsection ~~(7)(8)~~ of this rule.

(2) No change.

~~(3) Burden of Proof. It is the applicant's responsibility to prove that the statutory and regulatory requirements warranting granting of the application for registration as an associated person are met.~~

~~(3)(4)~~ Amendment of Application. If the information contained in any Form U4 becomes inaccurate for any reason before or after the associated person becomes registered, the

associated person through the dealer, shall be responsible for correcting the inaccurate information within thirty (30) days. If the information being updated relates to the applicant's or registrant's disciplinary history, in addition to updating the Form U4, the associated person through the dealer shall also provide the Office with notice and copies of each civil, criminal or administrative action initiated against the associated person as provided in subsection ~~(10)(44)~~ of this rule. Associated persons of FINRA member firms shall file such amendments through the CRD system.

~~(4)(5)~~ Multiple Registration. An applicant for registration as an associated person may apply to be registered as an associated person of more than one dealer, issuer/dealer, federal covered adviser or investment adviser, or any combination thereof, by the filing of separate applications by each registered dealer, issuer/dealer, federal covered adviser or investment adviser, and payment of separate application fees as required.

~~(5)(6)~~ Alternate Business Name.

(a) No change.

~~(6)(7)~~ Examinations/Qualifications.

(a) through (b) No change.

~~(7)(8)~~ Fingerprint Requirements.

(a) through (b) No change.

~~(8)(9)~~ Renewal Requirement.

(a) through (c) No change.

~~(9)(10)~~ Termination of Registration of Principal or Agent.

(a) through (b) No change.

~~(10)(44)~~ Notice of Civil, Criminal or Administrative Action. An associated person shall:

(a) No change.

(b) Notify the Office within thirty (30) calendar days of the date of decision, order, or sanction rendered, or any appeal filed with respect to such decision with regard to any complaint outlined in paragraph ~~(10)(44)(a)~~.

(c) Such notifications shall be filed with the Office through the CRD of the FINRA in accordance with subsection ~~(3)(4)~~ of this rule. When specifically requested by the Office pursuant to section 517.021, F.S., one (1) copy of such complaint, answer or reply to any complaint, decision, order, or sanction shall be filed directly with the Office. Responses to requests by the Office for additional information shall be filed directly with the Office.

~~(11)(12)~~ Continuing Education Requirement. Failure to comply with any of the applicable continuing education requirements set forth in any one of the following shall be deemed a demonstration of unworthiness by an associated person under section 517.161(1)(h), F.S.:

(a) through (d) No change.

(e) NYSE Chicago, Inc., Article 6, Rule 11 of NYSE Chicago, Inc., which is incorporated by reference in rule 69W-200.002, F.A.C.

*Rulemaking Authority 517.03(1), 517.12 FS. Law Implemented 517.12 FS. History—New 9-20-82, Formerly 3E-301.02, Amended 10-15-86, 10-4-88, 6-24-90, 7-29-90, 10-14-90, 8-1-91, 6-16-92, 6-28-93, 11-14-93, 3-13-94, 4-30-96, 12-29-96, 6-22-98, 5-10-00, 9-19-00, 7-31-02, 12-11-03, Formerly 3E-600.002, Amended 3-16-06, 5-15-07, 12-24-07, 12-25-08, 11-22-10, 5-29-12, 11-11-13, 12-29-15, 9-25-18,\_\_\_*

69W-600.0022 Application for Registration as Associated Person (Non-FINRA Dealer).

(1) New Applications.

(a) No change.

(b) An application shall include the following:

1. through 3. No change.

4. Evidence of examinations/qualifications set forth in subsection ~~(6)(7)~~ of this rule.

5. Fingerprints shall be submitted in accordance with section 517.12(7), F.S., and subsection ~~(7)(8)~~ of this rule.

(2) No change.

~~(3) Burden of Proof. It is the applicant's responsibility to prove that the statutory and regulatory requirements warranting granting of the application for registration as an associated person are met.~~

~~(3)(4)~~ Amendment of Application. If the information contained in any Form U4 becomes inaccurate for any reason before or after the associated person becomes registered, the associated person through the dealer, shall be responsible for correcting the inaccurate information within thirty (30) days. If the information being updated relates to the applicant's or registrant's disciplinary history, in addition to updating the Form U4, the associated person through the dealer shall also provide the Office with notice and copies of each civil, criminal or administrative action initiated against the associated person as provided in subsection ~~(10)(44)~~ of this rule. Associated persons of non-FINRA firms shall file such amendments electronically with the Office through the REAL System.

~~(4)(5)~~ Multiple Registration. An applicant for registration as an associated person may apply to be registered as an associated person of more than one dealer, issuer/dealer, federal covered adviser or investment adviser, or any combination thereof, by the filing of separate applications by each registered dealer, issuer/dealer, federal covered adviser or investment adviser, and payment of separate application fees as required.

~~(5)(6)~~ Alternate Business Name.

(a) No change.

~~(6)(7)~~ Examinations/Qualifications.

(a) through (b) No change.

~~(7)(8)~~ Fingerprint Requirements. Fingerprints filed in accordance with section 517.12(7), F.S., shall be submitted to the Office through a live scan vendor approved by the Florida Department of Law Enforcement (FDLE) and published on FDLE's website for submission to FDLE and the Federal

Bureau of Investigation (FBI) for a state criminal background check and a federal criminal background check. The cost of fingerprint processing shall be borne by the applicant and paid directly to the live scan vendor.

~~(8)(9)~~ Renewal Requirement.

(a) through (c) No change.

~~(9)(10)~~ Termination of Registration of Principal or Agent.

(a) through (b) No change.

~~(10)(11)~~ Notice of Civil, Criminal or Administrative Action. An associated person shall:

(a) No change.

(b) Notify the Office within thirty (30) calendar days of the date of decision, order, or sanction rendered, or any appeal filed with respect to such decision with regard to any complaint outlined in paragraph ~~(10)(11)~~(a).

(c) Such notifications shall be filed with the Office through the REAL System in accordance with subsection ~~(3)(4)~~ of this rule. When specifically requested by the Office pursuant to section 517.021, F.S., one (1) copy of such complaint, answer or reply to any complaint, decision, order, or sanction shall be filed with the Office through the REAL System. Responses to requests by the Office for additional information shall be filed with the Office through the REAL System.

*Rulemaking Authority 517.03(1), 517.12 FS. Law Implemented 517.12 FS. History—New 12-29-15, Amended 9-25-18, \_\_\_\_\_.*

69W-600.0023 Application for Registration as Associated Person (Issuer/Dealer).

(1) New Applications.

(a) No change.

(b) An application shall include the following:

1. through 3. No change.

4. Evidence of examinations/qualifications set forth in subsection ~~(6)(7)~~ of this rule.

5. Fingerprints shall be submitted in accordance with section 517.12(7), F.S., and subsection ~~(7)(8)~~ of this rule.

(2) No change.

~~(3) Burden of Proof. It is the applicant's responsibility to prove that the statutory and regulatory requirements warranting granting of the application for registration as an associated person are met.~~

~~(3)(4)~~ Amendment of Application. If the information contained in any Form U4 becomes inaccurate for any reason before or after the associated person becomes registered, the associated person through the dealer shall be responsible for correcting the inaccurate information within thirty (30) days. If the information being updated relates to the applicant's or registrant's disciplinary history, in addition to updating the Form U4, the associated person through the dealer shall also provide the Office with notice and copies of each civil, criminal or administrative action initiated against the associated person

as provided in subsection ~~(10)(11)~~ of this rule. Associated persons of issuer/dealers shall file such amendments electronically with the Office through the REAL System.

~~(4)(5)~~ Multiple Registration. An applicant for registration as an associated person may apply to be registered as an associated person of more than one dealer, issuer/dealer, federal covered adviser or investment adviser, or any combination thereof, by the filing of separate applications by each registered dealer, issuer/dealer, federal covered adviser or investment adviser, and payment of separate application fees as required.

~~(5)(6)~~ Alternate Business Name.

(a) An issuer required to be registered or who elects to be registered pursuant to section 517.12(1), 517.051(9) or 517.061(11), F.S., selling its own securities exclusively through its principals or agents (as those terms are defined in section 517.021, F.S., and rule 69W-200.001, F.A.C., respectively) may obtain registration as an issuer/dealer by filing as required under subsection (1) of this rule, rule 69W-500.011 or 69W-600.0013, F.A.C., as appropriate, provided that:

1. The associated persons of said issuer/dealer comply with the registration requirements of section 517.12, F.S., and subsections ~~(6)(7)~~ and ~~(7)(8)~~ of this rule, provided that such person primarily performs, or is intended to perform at the end of the distribution, substantial duties for, or on behalf of, the issuer other than in connection with transactions in securities,

2. Said issuer/dealer may register up to five (5) associated persons, which persons shall be exempted from the examination requirements of subsection ~~(6)(7)~~ of this rule, provided such issuer/dealer shall register no more than five (5) associated persons, and at the time of application for registration advises the Office of its intention to register no more than five (5) associated persons. Failure to so advise the Office shall require all associated person applicants to fulfill the examination requirements of subsection ~~(6)(7)~~ of this rule. Registration of more than five (5) such associated persons, at any one time, shall void this exemption, and all such associated persons shall be required to meet the examination requirements of subsection ~~(7)(8)~~ of this rule.

(b) No change.

(c) Associated persons exempted from the examination requirements as provided by subparagraph ~~(5)(6)~~(a)2., may not be registered with more than one (1) issuer/dealer at the same time.

~~(6)(7)~~ Examinations/Qualifications.

(a) No change.

(b) Every applicant for initial registration as a principal or agent of a dealer shall evidence securities general knowledge by:

1. through 3. No change.

4. Having complied with the provisions of subparagraph ~~(5)(6)~~(a)2. of this rule; or

5. No change.

(c) No change.

~~(7)(8)~~ Fingerprint Requirements. Fingerprints filed in accordance with section 517.12(7), F.S., shall be submitted to the Office through a live scan vendor approved by the Florida Department of Law Enforcement (FDLE) and published on FDLE's website for submission to FDLE and the Federal Bureau of Investigation (FBI) for a state criminal background check and a federal criminal background check. The cost of fingerprint processing shall be borne by the applicant and paid directly to the live scan vendor.

~~(8)(9)~~ Renewal Requirement.

(a) through (c) No change.

~~(9)(10)~~ Termination of Registration of Principal or Agent.

(a) through (b) No change.

~~(10)(11)~~ Notice of Civil, Criminal or Administrative Action. An associated person shall:

(a) No change.

(b) Notify the Office within thirty (30) calendar days of the date of decision, order, or sanction rendered, or any appeal filed with respect to such decision with regard to any complaint outlined in paragraph ~~(10)(11)~~(a).

(c) Such notifications shall be filed with the Office through the REAL System in accordance with subsection ~~(3)(4)~~ of this rule. When specifically requested by the Office pursuant to section 517.021, F.S., one (1) copy of such complaint, answer or reply to any complaint, decision, order, or sanction shall be filed with the Office through the REAL System. Responses to requests by the Office for additional information shall be filed with the Office through the REAL System.

*Rulemaking Authority 517.03(1), 517.12 FS. Law Implemented 517.12 FS. History—New 12-29-15, Amended 9-25-18,\_\_\_\_\_.*

69W-600.0024 Application for Registration as Associated Person (Investment Adviser and Federal Covered Adviser).

(1) New Applications.

(a) No change.

(b) An application shall include the following:

1. through 3. No change.

4. Evidence of examinations/qualifications set forth in subsection ~~(6)(7)~~ of this rule.

5. Fingerprints shall be submitted in accordance with section 517.12(7), F.S., and subsection ~~(7)(8)~~ of this rule.

(2) No change.

~~(3) Burden of Proof. It is the applicant's responsibility to prove that the statutory and regulatory requirements warranting granting of the application for registration as an associated person are met.~~

~~(3)(4)~~ Amendment of Application. If the information contained in any Form U4 becomes inaccurate for any reason before or after the associated person becomes registered, the

associated person through the investment adviser or federal covered adviser shall be responsible for correcting the inaccurate information within thirty (30) days. If the information being updated relates to the applicant's or registrant's disciplinary history, in addition to updating the Form U4, the associated person through the investment adviser or federal covered adviser shall also provide the Office with notice and copies of each civil, criminal or administrative action initiated against the associated person as provided in subsection ~~(10)(11)~~ of this rule. Associated persons shall file such amendments through the CRD system.

~~(4)(5)~~ Multiple Registration.

(a) through (b) No change.

~~(5)(6)~~ Alternate Business Name.

(a) No change.

~~(6)(7)~~ Examinations/Qualifications.

(a) Every applicant for registration shall execute and submit a statement attesting to said applicant's knowledge and review of the Florida Securities and Investor Protection Act, as contained in the Form U4.

(b) An individual applying to be registered as an associated person of an investment adviser or federal covered adviser shall provide the Office with ~~proof of passing, within two years of the date of application for registration,~~ one of the following examinations:

1. ~~Proof of passing, within two years of the date of application for registration, the~~ The Uniform Investment Adviser Law Examination (Series 65); or

2. ~~Proof of passing, within two years of the date of application for registration, the~~ The General Securities Representative Examination (Series 7), ~~and the Uniform Combined State Law Examination (Series 66),~~ and ~~proof of passing within 3.~~ Within four years of the date of application for registration, the Securities Industry Essentials (SIE) Examination. The following individuals will be considered to have passed the SIE Examination:

a. A- Individuals whose registration as a representative was terminated between October 1, 2014, and September 30, 2018, provided they re-register as a representative within four years from the date of their last registration;

b. B- Individuals who registered as representatives prior to October 1, 2018, and who continue to maintain those registrations on or after October 1, 2018.

(c) Grandfathering Provisions:

1. Any individual who is or has been registered as an associated person of an investment adviser or federal covered adviser in any jurisdiction in the United States requiring examinations designated in paragraph ~~(6)(7)~~(b), within two years of the date of application for registration shall not be required to satisfy the examination requirements for continued registration except that the Office may require additional

examinations for any individual found to have violated any state or federal securities law.

2. An individual who has not been registered in any jurisdiction in the United States requiring examinations designated in paragraph ~~(6)~~(7)(b), as an associated person of an investment adviser or federal covered adviser within two years of the date of application for registration shall be required to comply with the examination requirements of this rule.

(d) No change.

~~(7)~~(8) Fingerprint Requirements.

(a) though (b) No change.

~~(8)~~(9) Renewal Requirement.

(a) through (c) No change.

~~(9)~~(10) Termination of Registration of Principal or Agent.

(a) through (b) No change.

~~(10)~~(11) Notice of Civil, Criminal or Administrative Action. An associated person shall:

(a) No change.

(b) Notify the Office within thirty (30) calendar days of the date of decision, order, or sanction rendered, or any appeal filed with respect to such decision with regard to any complaint outlined in paragraph ~~(10)~~(11)(a).

(c) Such notifications shall be filed with the Office through the CRD system of the FINRA in accordance with subsection ~~(3)~~(4) of this rule. When specifically requested by the Office pursuant to section 517.021, F.S., one (1) copy of such complaint, answer or reply to any complaint, decision, order, or sanction shall be filed directly with the Office. Responses to requests by the Office for additional information shall be filed directly with the Office.

*Rulemaking Authority 517.03(1), 517.12 FS. Law Implemented 517.12 FS. History—New 12-29-15, Amended 9-25-18,\_\_\_\_\_.*

**DEPARTMENT OF FINANCIAL SERVICES**

**Securities**

RULE NO.:           RULE TITLE:  
69W-700.001       Registration of Securities  
                          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. 45 No. 157, August 13, 2019 issue of the Florida Administrative Register.

69W-700.001 Registration of Securities

(1) No change.

(2) Request for Additional Information. All information required by subsection (1) of this rule, shall be submitted with the original application filing. The required exhibits in the application forms are not intended to limit the applicant’s presentation of any of the requirements, but merely represent

the minimum information to be filed. Any request for additional documents or information shall be made by the Office within thirty (30) days after receipt of the application. Additional information shall be submitted directly with the Office within sixty (60) days after a request has been made by the Office. Failure to respond to such request within sixty (60) days after the date of the request may be construed by the Office as grounds for denial of an application in accordance with the provisions of section 120.60(1), F.S.

~~(3) Amendment of Application. An applicant may amend the application as to those factors generally within the control or selection of the applicant once, as a matter of course, at any time within thirty (30) days from its receipt for filing. Otherwise, the application may be amended only with prior permission from the Office. Requests to make changes which are material to the application or to the Office’s evaluation of the application filed at any time after the application has been received may be deemed by the Office to be grounds for denial, and a new application, accompanied by the appropriate filing fee, may be required.~~

~~(4) Burden of Proof. It is the applicant’s responsibility to prove that the statutory and regulatory requirements warranting granting of the authority requested by the applicant are met.~~

~~(3)~~(5) Financial Reporting Requirements for Securities Registration.

(a) through (d) No change.

*Rulemaking Authority 517.03 FS. Law Implemented 517.07, 517.081, 517.101 FS. History—(Formerly 3E-20.011) New 9-20-82, Formerly 3E-700.01, Amended 7-31-91, Formerly 3E-700.001, Amended 9-22-14, 12-29-15,\_\_\_\_\_.*

**Section IV  
Emergency Rules**

NONE

**Section V  
Petitions and Dispositions Regarding Rule  
Variance or Waiver**

**DEPARTMENT OF FINANCIAL SERVICES**

**Finance**

The Florida Office of Financial Regulation hereby gives notice: On 9/19/2019, the Florida Office of Financial Regulation issued a Final Order Granting Petition for Permanent Waiver or Variance from paragraph 69V-560.703(1)(d), Florida Administrative Code, dated June 21, 2019, filed by Western Union Business Solutions (USA), LLC. The original petition



was published June 24, 2019 in the Florida Administrative Register Volume 45, Number 124.

A copy of the Order or additional information may be obtained by contacting: Agency Clerk, Office of Financial Regulation, P.O. Box 8050, Tallahassee, Florida 32314-8050, (850)410-9889, Agency.Clerk@flofr.com.

**PINELLAS COUNTY LICENSE BOARD**

NOTICE IS HEREBY GIVEN that on September 18, 2019, the PINELLAS COUNTY LICENSE BOARD for Children’s Centers & Family Child Care Homes, received a petition for Rule no.: 65C-22.001 General Requirements. NOTICE IS HEREBY GIVEN that on September 18, 2019, Pinellas County License Board for Children’s Centers & Family Child Care Homes received a petition for a temporary variance from Section 3.8.4(A) of the Child Care Facility Handbook, which is incorporated by reference in subsection 65C-22.001(6) Florida Administrative Code and made part of the Licensing Regulations Governing Pinellas County Children’s Centers VI.B.4. from The Stepping Stone Daycare #2, assigned case No. 10-002V. Section 3.8.4(A) of the Child Care Facility Handbook incorporated in the Licensing Regulations Governing Pinellas County Children’s Centers VI.B.4 required that during the facility’s license year, fire drills utilizing the approve alarm system must be conducted monthly at various dates and times when children are in care. Subsection 65C-22.001(6), F.A.C., states in pertinent part that child care programs must follow standards found in the “Child Care Facility Handbook”, October 2017, incorporated by reference and adopted in the Licensing Regulations Governing Pinellas County Children’s Centers.

A copy of the Petition for Variance or Waiver may be obtained by contacting: Executive Director, Pinellas County License Board, 8751 Ulmerton Road, Suite 2000, Largo, Florida 33771.

**Section VI**

**Notice of Meetings, Workshops and Public Hearings**

**DEPARTMENT OF LEGAL AFFAIRS**

Division of Victim Services and Criminal Justice Programs  
The Council on the Social Status of Black Men and Boys announces a telephone conference call to which all persons are invited.

DATE AND TIME: Friday, September 20, 2019, 10:30 a.m.  
PLACE: Toll Free Dial in Number: 1(888)585-9008, Conference Code: 428-345-081

GENERAL SUBJECT MATTER TO BE CONSIDERED: Council Chairman Special Call Meeting / Teleconference

The Council shall make a systematic study of the conditions affecting black men and boys, including, but not limited to,

homicide rates, arrest and incarceration rate, poverty, violence, drug abuse, death rates, disparate annual income levels, school performance in all grade levels including postsecondary levels, and health issues.

A copy of the agenda may be obtained by contacting: <http://www.cssbmb.com>.

Pursuant to the provisions of the Americans with Disabilities Act, any person requiring special accommodations to participate in this workshop/meeting is asked to advise the agency at least 48 hours before the workshop/meeting by contacting: the Bureau of Criminal Justice Programs at (850)414-3300. If you are hearing or speech impaired, please contact the agency using the Florida Relay Service, 1(800)955-8771 (TDD) or 1(800)955-8770 (Voice).

For more information, you may contact: the Bureau of Criminal Justice Programs at (850)414-3300.

**DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES**

The Florida State Fair Authority Board announces a telephone conference call to which all persons are invited.

DATE AND TIME: October 7, 2019, 10:00 a.m.

PLACE: Conference Call

GENERAL SUBJECT MATTER TO BE CONSIDERED: 2020 Florida State Fair and Business

A copy of the agenda may be obtained by contacting: Kimberly Rudolph, 1(813)627-4221.

Pursuant to the provisions of the Americans with Disabilities Act, any person requiring special accommodations to participate in this workshop/meeting is asked to advise the agency at least 1 days before the workshop/meeting by contacting: Kimberly Rudolph, 1(813)627-4221. If you are hearing or speech impaired, please contact the agency using the Florida Relay Service, 1(800)955-8771 (TDD) or 1(800)955-8770 (Voice).

For more information, you may contact: Kimberly Rudolph, 1(813)627-4221.

**DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES**

Division of Administration

The CRAFT Foundation, Inc. Board of Directors announces a public meeting to which all persons are invited.

DATE AND TIME: Thursday, October 3, 2019, 1:00 p.m.

PLACE: 600 N. Broadway Avenue, Bartow, FL 33830

GENERAL SUBJECT MATTER TO BE CONSIDERED: The CRAFT Foundation Board of Directors will conduct a meeting to discuss and execute matters including, but not limited to, an update on the status of funding and program implementation; consideration of funding agreement(s); discussion of criteria and the process for review of program applications; and the consideration of fiscal policy.

A copy of the agenda may be obtained by contacting: Tamara Wood at 1(863)698-9276.

Pursuant to the provisions of the Americans with Disabilities Act, any person requiring special accommodations to participate in this workshop/meeting is asked to advise the agency at least 2 days before the workshop/meeting by contacting: Tamara Wood at 1(863)698-9276. If you are hearing or speech impaired, please contact the agency using the Florida Relay Service, 1(800)955-8771 (TDD) or 1(800)955-8770 (Voice).

**DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES**

Division of Food, Nutrition and Wellness

The Board of Directors of Living Healthy in Florida, Inc. announces a public meeting to which all persons are invited.

DATE AND TIME: September 27, 2019, 2:45 p.m.

\*If you are unable to attend you can access the meeting via conference call. The call in info is provided below

Toll Free Number: 1(888)585-9008, Participation Code: 522.157.756

PLACE: RCMA Wimauma Academy, 18236 US-301, Wimauma, FL 33598

\*If you are unable to participate you can access the meeting via the conference call information provided below.

Toll Free Number: 1(888)585-9008, Participation Code: 522.157.756

**GENERAL SUBJECT MATTER TO BE CONSIDERED:** During the meeting participants will be updated on recent LHIF's activities. The board will also have an opportunity to brainstorm and discuss future goals and initiatives they would like to see incorporated in LHIF.

A copy of the agenda may be obtained by contacting: Mikhail Scott, Mikhail.Scott@FDACS.gov.

Pursuant to the provisions of the Americans with Disabilities Act, any person requiring special accommodations to participate in this workshop/meeting is asked to advise the agency at least 5 days before the workshop/meeting by contacting: Mikhail Scott at (850)617-7167. If you are hearing or speech impaired, please contact the agency using the Florida Relay Service, 1(800)955-8771 (TDD) or 1(800)955-8770 (Voice).

For more information, you may contact: Mikhail Scott at Mikhail.Scott@FDACS.gov.

**PUBLIC SERVICE COMMISSION**

The Florida Public Service Commission announces a rescheduled public workshop from September 5, 2019, to October 3, 2019, due to Hurricane Dorian in the following undocketed matter to which all persons are invited. One or more of the Commissioners of the Florida Public Service Commission may attend and participate in this workshop.

DATE AND TIME: Thursday, October 3, 2019, immediately following Agenda.

PLACE: Betty Easley Conference Center, Room 148, 4075 Esplanade Way, Tallahassee, FL 32399-0862.

**GENERAL SUBJECT MATTER TO BE CONSIDERED:** Undocketed – In Re: Review of Ten-Year Site Plans of Electric Utilities. The purpose of this workshop is to afford an opportunity for discussion and public comment on the ten-year site plans submitted by Florida's electric utilities and on related issues. In addition, the Florida Reliability Coordinating Council will present the 2019 Florida Regional Load & Resource Plan, discuss fuel reliability, planned renewables projects, and reliability considerations of utility solar generation additions.

A copy of the agenda may be obtained by contacting: The Office of Commission Clerk, Florida Public Service Commission, 2540 Shumard Oak Boulevard, Tallahassee, Florida 32399-0850.

In accordance with the Americans with Disabilities Act, persons needing a special accommodation to participate at this proceeding should contact the Office of Commission Clerk no later than five days prior to the workshop at 2540 Shumard Oak Boulevard, Tallahassee, Florida 32399-0850 or (850)413-6770 (Florida Relay Service, 1(800)955-8770 Voice or 1(800)955-8771 TDD). Assistive Listening Devices are available upon request from the Office of Commission Clerk, Gerald L. Gunter Building, Room 152.

**EMERGENCY CANCELLATION OF MEETING**

If a named storm or other disaster requires cancellation of the workshop, Commission staff will attempt to give timely direct notice to the parties. Notice of cancellation will also be provided on the Commission's website (<http://www.floridapsc.com>) under the Hot Topics link found on the home page. Cancellation can also be confirmed by calling the Office of the General Counsel at (850)413-6199.

For additional information, please contact: Doug Wright, Division of Engineering, Florida Public Service Commission, 2540 Shumard Oak Boulevard, Tallahassee, FL 32399-0850 or (850)413-6682.

**REGIONAL PLANNING COUNCILS**

Northeast Florida Regional Planning Council

The Northeast Florida Regional Council announces a public meeting to which all persons are invited.

DATE AND TIMES: October 3, 2019, Personnel Budget & Finance Policy Committee, 9:30 a.m.; Board of Directors, 10:00 a.m.; Legislative Policy Committee immediately following the Board meeting.

PLACE: 100 Festival Park Avenue, Jacksonville, FL 32202.

**GENERAL SUBJECT MATTER TO BE CONSIDERED:** Regular Meeting.

A copy of the agenda may be obtained by contacting: (904)279-0880.

Pursuant to the provisions of the Americans with Disabilities Act, any person requiring special accommodations to participate in this workshop/meeting is asked to advise the agency at least 5 days before the workshop/meeting by contacting: (904)279-0880. If you are hearing or speech impaired, please contact the agency using the Florida Relay Service, 1(800)955-8771 (TDD) or 1(800)955-8770 (Voice).

**METROPOLITAN PLANNING ORGANIZATIONS**

**Broward Metropolitan Planning Organization**

The Broward Metropolitan Planning Organization announces a public meeting to which all persons are invited.

DATE AND TIME: October 21, 2019, 2:00 p.m.

PLACE: Board Room of the Broward MPO, Trade Centre South, 100 West Cypress Creek Road, 6th Floor, Suite 650, Fort Lauderdale, FL 33309-2181

**GENERAL SUBJECT MATTER TO BE CONSIDERED:** To conduct a regular business meeting of the Transportation Disadvantaged Local Coordinating Board (LCB).

A copy of the agenda may be obtained by contacting: A copy of the agenda may be obtained at the Broward MPO website at <http://browardmpo.org/index.php/agendas-minutes>.

Pursuant to the provisions of the Americans with Disabilities Act, any person requiring special accommodations to participate in this workshop/meeting is asked to advise the agency at least 10 days before the workshop/meeting by contacting: Charlene Burke at (954)876-0055 or [burkec@browardmpo.org](mailto:burkec@browardmpo.org). If you are hearing or speech impaired, please contact the agency using the Florida Relay Service, 1(800)955-8771 (TDD) or 1(800)955-8770 (Voice).

If any person decides to appeal any decision made by the Board with respect to any matter considered at this meeting or hearing, he/she will need to ensure that a verbatim record of the proceeding is made, which record includes the testimony and evidence from which the appeal is to be issued.

For more information, you may contact: Charlene Burke at (954)876-0055 or [burkec@browardmpo.org](mailto:burkec@browardmpo.org).

**WATER MANAGEMENT DISTRICTS**

**Northwest Florida Water Management District**

The Northwest Florida Water Management District announces a public meeting to which all persons are invited. DATE AND TIME: October 29, 2019, 2:00 p.m., Eastern Time

PLACE: District Headquarters, 81 Water Management Drive, Havana, FL 32333

**GENERAL SUBJECT MATTER TO BE CONSIDERED:** In accordance with the timeframe set forth in section 120.525,

Florida Statutes, a public meeting for opening of sealed bids is hereby noticed within the timeline for the Invitation to Bid (ITB) 19B-012 Seven Runs Creek Streambank Restoration Project

Other Meetings for ITB 19B-012

Pre-Bid Conference for Prospective Respondents:

DATE AND TIME: October 2, 2019, 10:00 a.m. – 11:00 a.m., Central Daylight Time

PLACE: Seven Runs Creek Recreation Area

West of Highway 81, approximately 5.7 miles north of the Highway 20/Highway 81 intersection in Bruce, FL.

**PURPOSE:** To answer any technical or administrative questions regarding the bid package and the work to be performed.

Any additional public meetings will be noticed on the Vendor Bid System, the District website, and the Florida Administrative Register (FAR). A copy of the agenda may be obtained by contacting: Elaine McKinnon at (850)539-5999 or [Elaine.McKinnon@nfwwater.com](mailto:Elaine.McKinnon@nfwwater.com).

Pursuant to the provisions of the Americans with Disabilities Act, any person requiring special accommodations to participate in this workshop/meeting is asked to advise the agency at least 72 hours before the workshop/meeting by contacting: Wendy Dugan at (850)539-5999. If you are hearing or speech impaired, please contact the agency using the Florida Relay Service, 1(800)955-8771 (TDD) or 1(800)955-8770 (Voice).

**WATER MANAGEMENT DISTRICTS**

**Southwest Florida Water Management District**

The Southwest Florida Water Management District announces a public meeting to which all persons are invited.

DATE AND TIME: October 2, 2019, 9:00 a.m.

PLACE: 7601 HWY 301 N, Tampa, FL 33637

**GENERAL SUBJECT MATTER TO BE CONSIDERED:** Regular monthly meeting to obtain feedback from interested persons on current pending permit applications. The agenda is available at [www.swfwmd.state.fl.us/about/calendar/month](http://www.swfwmd.state.fl.us/about/calendar/month).

A copy of the agenda may be obtained by contacting: Justin J. Eddy, (352)796-7211, ext. 4374.

Pursuant to the provisions of the Americans with Disabilities Act, any person requiring special accommodations to participate in this workshop/meeting is asked to advise the agency at least 5 days before the workshop/meeting by contacting: SWFWMD, Human Resources Bureau Chief at 1(800)423-1476, ext. 4701; TDD (FL only) 1(800)231-6103; or email: [ADACoordinator@swfwmd.state.fl.us](mailto:ADACoordinator@swfwmd.state.fl.us). If you are hearing or speech impaired, please contact the agency using the Florida Relay Service, 1(800)955-8771 (TDD) or 1(800)955-8770 (Voice).

**WATER MANAGEMENT DISTRICTS**

Southwest Florida Water Management District  
 The Southwest Florida Water Management District (SWFWMD) announces a public meeting to which all persons are invited.

DATE AND TIME: Tuesday, October 8, 2019, 10:00 a.m.  
 PLACE: District's Tampa Office, 7601 US Highway 301 North, Tampa, FL 33637

GENERAL SUBJECT MATTER TO BE CONSIDERED: Environmental Advisory Committee meeting: Discuss committee business. All or part of this meeting may be conducted by means of communications media technology in order to permit maximum participation of Governing Board members.

A copy of the agenda may be obtained by contacting: WaterMatters.org – Boards, Meetings & Event Calendar; 1(800)423-1476 (FL only) or (352)796-7211.

Pursuant to the provisions of the Americans with Disabilities Act, any person requiring special accommodations to participate in this workshop/meeting is asked to advise the agency at least 5 days before the workshop/meeting by contacting: SWFWMD Human Resources Office Chief at 1(800)423-1476 (FL only) or (352)796-7211, x4703; TDD (FL only) 1(800)231-6103; or email to ADACoordinator@swfwmd.state.fl.us. If you are hearing or speech impaired, please contact the agency using the Florida Relay Service, 1(800)955-8771 (TDD) or 1(800)955-8770 (Voice).

If any person decides to appeal any decision made by the Board with respect to any matter considered at this meeting or hearing, he/she will need to ensure that a verbatim record of the proceeding is made, which record includes the testimony and evidence from which the appeal is to be issued.

For more information, you may contact: Kelly.Page@watermatters.org; 1(800)423-1476 (FL only) or (352)796-7211, x4605 (Ad OrderEXE0697).

**SPACE FLORIDA**

The Space Florida announces a telephone conference call to which all persons are invited.

DATE AND TIME: October 2, 2019, 9:00 a.m.  
 PLACE: Dial In Number: 1(866)528-2256, Guest Code: 4875556#

GENERAL SUBJECT MATTER TO BE CONSIDERED: Space Florida Governance & Compensation Committee Teleconference

A copy of the agenda may be obtained by contacting: Elizabeth Loving at eloving@spaceflorida.gov or (321)730-5301, ext. 241.

Pursuant to the provisions of the Americans with Disabilities Act, any person requiring special accommodations to

participate in this workshop/meeting is asked to advise the agency at least 2 days before the workshop/meeting by contacting: Elizabeth Loving at eloving@spaceflorida.gov or (321)730-5301, ext. 241. If you are hearing or speech impaired, please contact the agency using the Florida Relay Service, 1(800)955-8771 (TDD) or 1(800)955-8770 (Voice).

If any person decides to appeal any decision made by the Board with respect to any matter considered at this meeting or hearing, he/she will need to ensure that a verbatim record of the proceeding is made, which record includes the testimony and evidence from which the appeal is to be issued.

For more information, you may contact: Elizabeth Loving at eloving@spaceflorida.gov or (321)730-5301, ext. 241.

**DEPARTMENT OF HEALTH**

Division of Children's Medical Services  
 The State Child Abuse Death Review Committee announces a telephone conference call to which all persons are invited.

DATE AND TIME: October 7, 2019, 10:00 a.m. – 12:00 Noon  
 PLACE: Conference Line Information: Phone # 1(888)585-9008 Conference Room # 574-649-225

GENERAL SUBJECT MATTER TO BE CONSIDERED: The State Child Abuse Death Review (CADR) Committee has planned a collaborative face-to-face meeting. During this meeting, participants will work cooperatively within small and large group settings to develop plans for initiating local and statewide action in direct response to preventable child deaths reviewed by local CADR committees.

A copy of the agenda may be obtained by contacting: Joshua Thomas: Joshua.Thomas@flhealth.gov.

Pursuant to the provisions of the Americans with Disabilities Act, any person requiring special accommodations to participate in this workshop/meeting is asked to advise the agency at least 7 days before the workshop/meeting by contacting: Joshua Thomas: Joshua.Thomas@flhealth.gov. If you are hearing or speech impaired, please contact the agency using the Florida Relay Service, 1(800)955-8771 (TDD) or 1(800)955-8770 (Voice).

For more information, you may contact: Joshua Thomas: Joshua.Thomas@flhealth.gov.

**DEPARTMENT OF HEALTH**

- Division of Environmental Health  
 RULE NO.: RULE TITLE:  
 64E-6.001 General  
 64E-6.003 Permits  
 64E-6.004 Application for System Construction Permit  
 64E-6.009 Alternative Systems  
 64E-6.012 Standards for the Construction, Operation, and Maintenance of Aerobic Treatment Units  
 64E-6.015 Permitting and Construction of Repairs  
 64E-6.0152 Innovative System Permitting

- 64E-6.025 Definitions
- 64E-6.026 Applications for Innovative System Permits and System Construction Permits
- 64E-6.027 Permits
- 64E-6.028 Location and Installation
- 64E-6.029 Monitoring
- 64E-6.0295 Innovative System Reclassification

The Department of Health announces a public meeting to which all persons are invited.

DATE AND TIME: September 30, 2019, 1:00 p.m. – 4:00 p.m. Eastern Time or until the conclusion of the public meeting, whichever occurs first

PLACE: Lake Ellenor Auditorium, Florida Department of Health in Orange County, 6101 Lake Ellenor Drive , Orlando, Florida 32809, or call-in: Teleconference Phone Number: 1(888)585-9008, at the prompt, enter the Conference Room number: 200-983-436#

GENERAL SUBJECT MATTER TO BE CONSIDERED: The Technical Review and Advisory Panel will discuss issues relating to onsite sewage treatment and disposal systems and draft rule amendments to provisions of Chapter 64E-6, of the Florida Administrative Code. This is not a workshop, pursuant to paragraph 120.54(2)(c), Florida Statutes.

A copy of the agenda may be obtained by contacting: A copy of the agenda may be obtained by contacting: Robin Eychaner, Department of Health, Bureau of Environmental Health, 4052 Bald Cypress Way, Bin # A08, Tallahassee, Florida 32399-1710.

Pursuant to the provisions of the Americans with Disabilities Act, any person requiring special accommodations to participate in this workshop/meeting is asked to advise the agency at least 6 days before the workshop/meeting by contacting: Robin Eychaner, Department of Health, Bureau of Environmental Health, 4052 Bald Cypress Way, Bin # A08, Tallahassee, Florida 32399-1710. If you are hearing or speech impaired, please contact the agency using the Florida Relay Service, 1(800)955-8771 (TDD) or 1(800)955-8770 (Voice).

If any person decides to appeal any decision made by the Board with respect to any matter considered at this meeting or hearing, he/she will need to ensure that a verbatim record of the proceeding is made, which record includes the testimony and evidence from which the appeal is to be issued.

For more information, you may contact: Robin Eychaner, Department of Health, Bureau of Environmental Health, 4052 Bald Cypress Way, Bin # A08, Tallahassee, Florida 32399-1710.

DEPARTMENT OF HEALTH

Division of Emergency Preparedness and Community Support  
The Florida Department of Health/Florida Trauma System Advisory Council announces a public meeting to which all persons are invited.

DATE AND TIME: Tuesday, October 22, 2019, 9:00 a.m. ET  
PLACE: Renaissance World Golf Village Resort, 500 South Legacy Trail, St. Augustine, FL 32821

A conference line has been established: 1(888)585-9008 then 325-223-031

GENERAL SUBJECT MATTER TO BE CONSIDERED: General Business of the Florida of the Florida Trauma System Advisory Council.

A copy of the agenda may be obtained by contacting: Michael Leffler at (850)558-9535 or michael.leffler@flhealth.gov.

Pursuant to the provisions of the Americans with Disabilities Act, any person requiring special accommodations to participate in this workshop/meeting is asked to advise the agency at least 3 days before the workshop/meeting by contacting: Michael Leffler at (850)558-9535 or michael.leffler@flhealth.gov. If you are hearing or speech impaired, please contact the agency using the Florida Relay Service, 1(800)955-8771 (TDD) or 1(800)955-8770 (Voice).

For more information, you may contact: Michael Leffler at (850)558-9535 or michael.leffler@flhealth.gov.

DEPARTMENT OF CHILDREN AND FAMILIES

Family Safety and Preservation Program

The Department of Children and Families announces a telephone conference call to which all persons are invited.

DATE AND TIME: September 27, 2019, 10:00 a.m. – 12:00 Noon

PLACE: Conference Line: 1(888)585-9008, Conference Line Code: 680-104-491 #

GENERAL SUBJECT MATTER TO BE CONSIDERED: The purpose of the conference call meeting is to review the draft ILSAC Report that will be due to the Department no later than October 4th.

A copy of the agenda may be obtained by contacting: Brandie McCabe, Department of Children and Families, phone (850)717-4218 or email brandie.mccabe@myflfamilies.com.

Pursuant to the provisions of the Americans with Disabilities Act, any person requiring special accommodations to participate in this workshop/meeting is asked to advise the agency at least 1 days before the workshop/meeting by contacting: Brandie McCabe, Department of Children and Families, phone (850)717-4218 or email brandie.mccabe@myflfamilies.com. If you are hearing or speech impaired, please contact the agency using the Florida Relay Service, 1(800)955-8771 (TDD) or 1(800)955-8770 (Voice).

Florida Atlantic Research and Development Authority  
 The Florida Atlantic Research and Development Authority announces a public meeting to which all persons are invited.  
 DATE AND TIME: October 1, 2019, 8:00 a.m.  
 PLACE: 3651 FAU Boulevard, Suite 400, Boca Raton, FL 33431  
 GENERAL SUBJECT MATTER TO BE CONSIDERED: Authority SPECIAL meeting  
 A copy of the agenda may be obtained by contacting: [jwales@research-park.org](mailto:jwales@research-park.org).

**LOCHNER**  
 The Pinellas County Department of Public Works announces a workshop to which all persons are invited.  
 DATE AND TIME: Thursday, October 3, 2019, 5:30 p.m. – 7:30 p.m.  
 PLACE: The EpiCenter at St. Petersburg College – 13805 58th Street N, Clearwater, Florida 33760  
 GENERAL SUBJECT MATTER TO BE CONSIDERED: People attending the workshop may review project displays and aerial photographs, fill out comment forms, and speak one-on-one with project team members about proposed improvements to the study corridor. Pinellas County welcomes and appreciates the community’s participation in the project. The meeting gives interested parties an opportunity to express their views about the proposed improvements.  
 The environmental review, consultation, and other actions required by applicable federal environmental laws for this project are being, or have been, carried out by the Florida Department of Transportation pursuant to 23 U.S.C. §327 and a Memorandum of Understanding dated December 14, 2016 and executed by the FHWA and FDOT. The meeting will be held in compliance with Title VI of the Civil Rights Act of 1964 and related statutes. Pinellas County solicits public participation without regard to race, color, national origin, age, sex, religion, disability, or family status. Persons wishing to express their concerns relative to compliance with Title VI and Title VIII may do so by contacting Mr. Paul Valenti, Pinellas County Office of Human Rights, 400 S. Ft. Harrison Ave., Suite 400, Clearwater, FL 33756, (727)464-4880, (727)464-4431 (VOICE/TDD), or by email at [pvalenti@pinellascounty.org](mailto:pvalenti@pinellascounty.org).  
 A copy of the agenda may be obtained by contacting: Additional information may be obtained by contacting the Pinellas County Project Manager, Joan Rice at (727)464-8610, by e-mail to [jrice@pinellascounty.org](mailto:jrice@pinellascounty.org) or by writing to Pinellas County, Attn: Joan Rice, 22211 U.S. 19 North, Bldg. 1, Clearwater, Florida 33765.  
 Pursuant to the provisions of the Americans with Disabilities Act, any person requiring special accommodations to

participate in this workshop/meeting is asked to advise the agency at least 7 days before the workshop/meeting by contacting: If you are hearing or speech impaired, please contact the agency using the Florida Relay Service, 1(800)955-8771 (TDD) or 1(800)955-8770 (Voice).  
 For more information, you may contact: Additional information may be obtained by contacting the Pinellas County Project Manager, Joan Rice at (727)464-8610, by e-mail to [jrice@pinellascounty.org](mailto:jrice@pinellascounty.org) or by writing to Pinellas County, Attn: Joan Rice, 22211 U.S. 19 North, Bldg. 1, Clearwater, Florida 33765.

## Section VII Notice of Petitions and Dispositions Regarding Declaratory Statements

BOARD OF TRUSTEES OF THE INTERNAL IMPROVEMENT TRUST FUND  
 RULE NO.: RULE TITLE:  
 18-2.021 Land Management Planning and Land Use Evaluation Procedures of the Acquisition and Restoration Council  
 NOTICE IS HEREBY GIVEN that the Florida Department of Environmental Protection, in its role as staff to the Board of Trustees of the Internal Improvement Trust Fund, has received the petition for declaratory statement from Shannon R. Turbeville, on September 4, 2019 (OGC No. 19-1507). The petition seeks the agency's opinion as to the applicability of subsection 253.034(5), Florida Statutes, and Rule 18-2.021, Florida Administrative Code, as it applies to the petitioner.  
 Petitioner asserts that the Division of Recreation and Parks' plans to construct facilities at Weeki Wachee State Park violate subsection 253.034(5), Florida Statutes, and Rule 18-2.021, Florida Administrative Code, which require such facilities to be included in an approved land management plan.  
 A copy of the Petition for Declaratory Statement may be obtained by contacting: Lea Crandall, Agency Clerk, Office of General Counsel, Florida Department of Environmental Protection, 3900 Commonwealth Blvd., MS 35, Tallahassee, Florida 32399-3000; (850)245-2242; [Agency\\_Clerk@dep.state.fl.us](mailto:Agency_Clerk@dep.state.fl.us) during normal business hours (8:00 a.m. – 5:00 p.m., Monday through Friday, except legal holidays).  
 Please refer all comments to: Toni Sturtevant, Senior Assistant General Counsel, Office of General Counsel, Florida Department of Environmental Protection, 3900 Commonwealth Blvd., MS 35, Tallahassee, Florida 32399-3000; (850)245-2242  
 Persons whose substantial interests may be affected by the

requested declaratory statement may file a motion to intervene or a petition for administrative hearing within 21 days from the date of the publication of this notice. A motion or petition must be filed (received by the Clerk) in the Office of General Counsel of the Department at 3900 Commonwealth Boulevard, Mail Station 35, Tallahassee, Florida 32399-3000.

**BOARD OF TRUSTEES OF THE INTERNAL IMPROVEMENT TRUST FUND**

**RULE NO.: RULE TITLE:**

18-2.021 Land Management Planning and Land Use Evaluation Procedures of the Acquisition and Restoration Council

NOTICE IS HEREBY GIVEN that the Florida Department of Environmental Protection, in its role as staff to the Board of Trustees of the Internal Improvement Trust Fund, has received the petition for declaratory statement from Roy C. Johnson, on September 10, 2019 (OGC No. 19-1525). The petition seeks the agency's opinion as to the applicability of subsection 253.034(5), Florida Statutes, and Rule 18-2.021, Florida Administrative Code, as it applies to the petitioner.

Petitioner asserts that the Division of Recreation and Parks' plans to construct facilities at Weeki Wachee State Park violate subsection 253.034(5), Florida Statutes, and Rule 18-2.021, Florida Administrative Code, which require such facilities to be included in an approved land management plan.

A copy of the Petition for Declaratory Statement may be obtained by contacting: Lea Crandall, Agency Clerk, Office of General Counsel, Florida Department of Environmental Protection, 3900 Commonwealth Blvd., MS 35, Tallahassee, Florida 32399-3000; (850)245-2242; Agency\_Clerk@dep.state.fl.us during normal business hours (8:00 a.m. – 5:00 p.m., Monday through Friday, except legal holidays).

Please refer all comments to: Toni Sturtevant, Senior Assistant General Counsel, Office of General Counsel, Florida Department of Environmental Protection, 3900 Commonwealth Blvd., MS 35, Tallahassee, Florida 32399-3000.

Persons whose substantial interests may be affected by the requested declaratory statement may file a motion to intervene or a petition for administrative hearing within 21 days from the date of the publication of this notice. A motion or petition must be filed (received by the Clerk) in the Office of General Counsel of the Department at 3900 Commonwealth Boulevard, Mail Station 35, Tallahassee, Florida 32399-3000.

**BOARD OF TRUSTEES OF THE INTERNAL IMPROVEMENT TRUST FUND**

**RULE NO.: RULE TITLE:**

18-2.021 Land Management Planning and Land Use Evaluation Procedures of the Acquisition and Restoration Council

NOTICE IS HEREBY GIVEN that the Florida Department of Environmental Protection, in its role as staff to the Board of Trustees of the Internal Improvement Trust Fund, has received the petition for declaratory statement from Fritz H. Musselmann, on September 10, 2019 (OGC No. 19-1526). The petition seeks the agency's opinion as to the applicability of subsection 253.034(5), Florida Statutes, and Rule 18-21.021, Florida Administrative Code, as it applies to the petitioner.

Petitioner asserts that the Division of Recreation and Parks' plans to construct facilities as Weeki Wachee State Park violate subsection 253.034(5), Florida Statutes, and Rule 18-2.021, Florida Administrative Code, which require such facilities to be included in an approved land management plan.

A copy of the Petition for Declaratory Statement may be obtained by contacting: Lea Crandall, Agency Clerk, Office of General Counsel, Florida Department of Environmental Protection, 3900 Commonwealth Blvd., MS 35, Tallahassee, Florida 32399-3000, (850)245-2242; Agency\_Clerk@dep.state.fl.us during normal business hours (8:00 a.m. – 5:00 p.m., Monday through Friday, except legal holidays).

Please refer all comments to: Toni Sturtevant, Senior Assistant General Counsel, Office of General Counsel, Florida Department of Environmental Protection, 3900 Commonwealth Blvd., MS 35, Tallahassee, Florida 32399-3000.

Persons whose substantial interests may be affected by the requested declaratory statement may file a motion to intervene or a petition for administrative hearing within 21 days from the date of the publication of this notice. A motion or petition must be filed (received by the Clerk) in the Office of General Counsel of the Department at 3900 Commonwealth Boulevard, Mail Station 35, Tallahassee, Florida 32399-3000.

**DEPARTMENT OF BUSINESS AND PROFESSIONAL REGULATION**

Drugs, Devices and Cosmetics

NOTICE IS HEREBY GIVEN that The Division of Drugs, Devices and Cosmetics has received the petition for declaratory statement from Paul Reid, Maitland Labs of Central Florida, 7972 Forest City Road, Orlando, FL 32810. The petition seeks the agency's opinion as to the applicability of paragraph 499.01 (1)(a), F.S. as it applies to the petitioner.

The Petition seeks a formal opinion from the Department as to the ability for Maitland Labs of Central Florida, a 503B outsourcing facility to obtain a permit to operate as a Prescription Drug Manufacturer under paragraph 499.01 (1)(a), F. S. Except for good cause shown, motions for leave to intervene or petitions for administrative hearing by persons whose substantial interests may be affected must be filed within 21 days after the publication of this notice.

A copy of the Petition for Declaratory Statement may be obtained by contacting: Stephanie Prine, Division of Drugs, Devices and Cosmetics, 2601 Blair Stone Road, Tallahassee, FL 32399-1047, Stephanie.Prine@myfloridalicense.com, (850)717-1800.

Please refer all comments to: Walter Copeland, Director, Division of Drugs, Devices and Cosmetics, 2601 Blair Stone Road, Tallahassee, FL 32399-1047, Walter.Copeland@myfloridalicense.com. website: [http://interredesignalpha/dbpr/ddc/ddc\\_division\\_notices.html](http://interredesignalpha/dbpr/ddc/ddc_division_notices.html).

DEPARTMENT OF FINANCIAL SERVICES

Finance

NOTICE IS HEREBY GIVEN that the Florida Office of Financial Regulation has received the petition for declaratory statement from Southern Trust Mortgage, LLC. The petition seeks the agency's opinion as to the applicability of Chapter 494, Florida Statutes, as it applies to the petitioner.

On 9/17/2019, the Florida Office of Financial Regulation (Consumer Finance) received a Petition for Declaratory Statement from Southern Trust Mortgage, LLC. The petition seeks a declaratory statement from the Office whether Petitioner (a subsidiary of a state member bank and supervised by the Federal Reserve bank) and its employees are exempt pursuant to Chapter 494.00115(1)(b), Florida Statutes.

A copy of the Petition for Declaratory Statement may be obtained by contacting: Agency Clerk, Office of Financial Regulation, P.O. Box 8050, Tallahassee, Florida 32314-8050, (850)410-9889, Agency.Clerk@flofr.com.

Please refer all comments to: Agency Clerk, Office of Financial Regulation, P.O. Box 8050, Tallahassee, Florida 32314-8050, (850)410-9889, Agency.Clerk@flofr.com.

**Section VIII  
Notice of Petitions and Dispositions  
Regarding the Validity of Rules**

Notice of Petition for Administrative Determination has been filed with the Division of Administrative Hearings on the following rules:

NONE

Notice of Disposition of Petition for Administrative Determination has been filed with the Division of Administrative Hearings on the following rules:

NONE

**Section IX  
Notice of Petitions and Dispositions  
Regarding Non-rule Policy Challenges**

NONE

**Section X  
Announcements and Objection Reports of  
the Joint Administrative Procedures  
Committee**

NONE

**Section XI  
Notices Regarding Bids, Proposals and  
Purchasing**

DEPARTMENT OF EDUCATION

University of Central Florida

**NOTICE TO STRUCTURAL ENGINEERS AND COATING INSPECTORS**

The University of Central Florida announces that services in the discipline of structural engineering and coating inspection services will be required for the project listed below:

Project No. UCF-596 Spectrum Stadium Rust Remediation Project and Location: Spectrum Stadium, University of Central Florida, Main Campus, 4465 Knights Victory Way, Orlando, FL 32816.

Project Description: Structural engineering inspections of sandblasted steel; engineering analysis of such conditions, the creation of written details for permit, installation, and inspection, and the final inspection that structural remediation was performed in accordance with the structural drawings. Provide threshold inspection and certification at the completion of each phase of the project, certifying that the work has been properly completed and the entire stadium is structurally sound for occupancy.

Coating inspections: Daily inspections to ensure that environmental protections are properly in place, and that waste material is properly collected for disposal; sandblasting, preparation, and re-coating of all steel. Create reports to document project progress, consistent with Project Documents. These reports should include photographic documentation of a regular and random sample of remediation scope.

Instructions for submitting a proposal can be found on the Project Fact Sheet. The Project Fact Sheet and Contractor's Form may be obtained on our website [www.fp.ucf.edu](http://www.fp.ucf.edu) or by



contacting: Gina Seabrook, Email: gina.seabrook@ucf.edu, Phone: (407)823-5894.

We are accepting only electronic submissions, to be uploaded at: <https://ucf.bonfirehub.com/opportunities/19315>

Submittals must be received by 5:00 p.m. local time October 21, 2019. Late submissions or additional documentation will not be accepted.

DEPARTMENT OF EDUCATION

University of Central Florida

NOTICE TO FIRE ALARM CONTRACTORS/VENDORS

The University of Central Florida has a need to retain several companies to provide the design, repair and installation of fire alarm systems. These companies may be used over the time period of this contract to replace existing or provide new fire alarm systems on the UCF campus. Design and construction projects up to \$1,000,000 construction cost, or services for which the fee for professional services is less than \$200,000.

Project Description: provide product data, physical samples, design documents, specifications, and warranty services for the design, installation, repairs and maintenance of fire alarm systems. Companies must have the ability to provide designs and installations for a complete and functional system without any scope “by others” – companies must each act as the single point of contact and bear contractual responsibility for all related scope of work.

Instructions for submitting a proposal can be found on the Project Fact Sheet. The Project

Fact Sheet and Contractor’s Form may be obtained on our website [www.fp.ucf.edu](http://www.fp.ucf.edu) or by contacting: Gina Seabrook, Email: gina.seabrook@ucf.edu, Phone: (407)823-5894.

We are accepting only electronic submissions, to be uploaded at: <https://ucf.bonfirehub.com/opportunities/19318>.

Submittals must be received by 5:00 p.m. local time October 21, 2019. Late submissions or additional documentation will not be accepted.

DEPARTMENT OF EDUCATION

University of Central Florida

PROFESSIONAL SERVICES – ENVIRONMENTAL ENGINEERING SERVICES

NOTICE TO PROFESSIONALS

The University of Central Florida has a need for several firms to provide environmental engineering services on an ongoing basis for campus utility infrastructure condition assessment and management services on projects that have a construction budget of less than \$2,000,000, or studies for which the fee for professional services is less than \$200,000. Services required may include design, construction documents, environmental compliance review and administration.

The University of Central Florida wishes to enter into an open-ended contract with multiple companies for a period of one

year, with an option to renew for four additional one-year periods. The University has the right to amend the terms of the contract at each annual renewal. All firms applying must be licensed as Engineers in the State of Florida by the Florida Department of Business and Professional Regulation at the time of application and, if a Corporation, registered to operate in the State of Florida by the Department of State, Division of Corporations. Blanket professional liability insurance will be required for this project in the amount of \$2,000,000 and will be provided as a part of Basic Services.

Firms will provide condition assessment, upgrades needed to maintain regulatory compliance and economic lifecycle analysis of underground utilities infrastructure systems including Chilled Water, Hot Water, Natural Gas, Water, Sewer, and Storm Water. Provide gap analysis of current asset, inventory, and compliance management. Develop an ongoing condition assessment program for UCF utilizing non-invasive techniques as much as possible. The goals of this project are risk management, financial budgeting and forecasting, and regulatory compliance.

The Selection Committee may reject all proposals and stop the selection process at any time. The University also reserves the right to cancel the project at any time.

Instructions for submitting a proposal can be found on the Project Fact Sheet. The Project Fact Sheet and General Contractor’s Form may be obtained on our website [www.fp.ucf.edu](http://www.fp.ucf.edu) or by contacting: Gina Seabrook, Email: gina.seabrook@ucf.edu, Phone: (407)823-5894.

We are accepting only electronic submissions, to be uploaded at: <https://ucf.bonfirehub.com/opportunities/19352>

Submittals must be received by 5:00 p.m. local time October 21, 2019. Late submissions or additional documentation will not be accepted.

DEPARTMENT OF EDUCATION

University of Central Florida

Medium Voltage Electrical Services and Control Circuitry

NOTICE TO CONTRACTORS AND SUPPLIERS

PROJECT DESCRIPTION

The University of Central Florida announces services are required of qualified commercial and industrial specialty trade medium voltage contractors to perform corrective, predicative and preventive maintenance in accordance with “Attachment A” for pumps, switch-gear, generators, and variable frequency drives under \$1,000,000 for scopes of work that include alternations, repairs, and construction costs. The selected firms’ minimum bonding capacity shall be \$1,000,000.

The initial term of the agreement will be one (1) year, with the option to extend the agreement for four (4) additional one-year terms, upon satisfactory performance, for at total of five (5) years. All firms applying must be licensed contractors in the

State of Florida by the Florida Department of Business and Professional Regulation at the time of application and, if a Corporation, registered to operate in the State of Florida by the Department of State, Division of Corporations.

Projects being implemented may border or be within occupied areas, and projects will in many cases need to be phased to allow partial occupancy during construction. ALL projects will need to ensure the safety of students, faculty, and staff. Projects may be located on University of Central Florida or UCF-affiliated properties.

Carefully review the Contract posted with this advertisement at [www.fp.ucf.edu](http://www.fp.ucf.edu). Submitting a proposal for this project constitutes complete agreement with, and acceptance of, the terms and conditions contained within these documents. NO changes will be accepted.

The Selection Committee may reject all proposals and stop the selection process at any time. The University also reserves the right to cancel the project at any time.

Instructions for submitting a proposal can be found on the Project Fact Sheet. The Project Fact Sheet and Contractor’s Form may be obtained on our website [www.fp.ucf.edu](http://www.fp.ucf.edu) or by contacting: Gina Seabrook, Email: [gina.seabrook@ucf.edu](mailto:gina.seabrook@ucf.edu), Phone: (407)823-5894.

We are accepting only electronic submissions, to be uploaded at: <https://ucf.bonfirehub.com/opportunities/19320>

Submittals must be received by 5:00 p.m. local time October 21, 2019. Late submissions or additional documentation will not be accepted.

**DEPARTMENT OF EDUCATION**

University of North Florida

A/E - Herbert University Center Kitchen Addition

**NOTICE TO PROFESSIONAL CONSULTANTS**

**REQUEST FOR QUALIFICATIONS**

**RFQ 20-03 A/E - HERBERT UNIVERSITY CENTER KITCHEN ADDITION**

The University of North Florida Board of Trustees, a public body corporate, announces that professional services are required in the discipline of architecture for the design of a kitchen addition for the Herbert University Center located at the University of North Florida, 12000 Alumni Drive, Jacksonville, FL 32224.

**Project information**

The scope of services includes conducting a validation of an existing program followed by the design of an addition to include the new kitchen, server area, storage, walk-in coolers and freezers plus offices. The project scope includes relocating the kitchen to allow for this expansion and a more efficient work flow. The existing kitchen will be converted into table and chair storage for the banquet hall. The new kitchen location and associated spaces is approximately 6,620 square feet and is to

be located on the south west corner of the building. Other than a program, there is no other technical information available for this project.

The successful consultant is responsible for understanding and complying with all applicable local, state, and federal occupational safety and health regulations pertaining to the scope of work as outlined in this RFQ

The proposed schedule for this project is:

Advertisement	September 19, 2019
Non-mandatory pre-submittal meeting at 11 a.m. at Hicks Hall	October 3, 2019
Submittals Due	October 22, 2019 at 2 p.m.
Evaluation Meeting(s)	November 2019
Interviews/Award	December 2019

Firms wishing to apply for consideration shall submit a Letter of Application/Interest with the appropriate documents from RFQ 20-03 titled A/E – Herbert University Center Kitchen Addition.

The Letter of Application should have attached:

1. The most recent version of the "Professional Qualifications Supplement," completed by the applicant. Applications on any other form will not be considered.
2. A copy of the applicant's current Professional Registration Certificate from the appropriate governing board. An applicant must be properly registered at the time of application to practice its profession in the State of Florida. If the applicant is a corporation, it must be chartered by the Florida Department of State to operate in Florida.
3. Six complete copies of the above requested data bound and in the order listed in the solicitation document. Applications which do not comply with the above instructions may be disqualified. Application materials will not be returned. Minority business participation is strongly recommended and supported by the University of North Florida. Blanket professional liability insurance will be required for this project in the amount of \$2,000,000 and will be provided as part of the Basic Services (each, aggregate and per occurrence). As required by §287.133, Fla. Stat., a consultant may not submit a proposal for this project if it is on the convicted vendor list for a public entity crime committed within the past 36 months. The selected consultant must warrant that it will neither utilize the services of, nor contract with, any supplier, subcontractor or consultant in excess of \$15,000 in connection with this project for a period of 36 months from the date of their being placed on the convicted vendor list.

Professional Qualifications Supplemental forms, descriptive project information and selection criteria may be obtained online at the UNF Procurement Services website at [https://www.unf.edu/procurement/Bids\\_and\\_Notices.aspx](https://www.unf.edu/procurement/Bids_and_Notices.aspx).

Submit one original and six complete copies of submittals per directions. RFQ submittals must be received no later than 2:00 p.m. on October 22, 2019. Facsimile (fax) or email submittals are not acceptable and will not be considered.

## Section XII Miscellaneous

### DEPARTMENT OF STATE

Index of Administrative Rules Filed with the Secretary of State Pursuant to subparagraph 120.55(1)(b)6. – 7., F.S., the below list of rules were filed in the Office of the Secretary of State between 3:00 p.m., Friday, September 13, 2019 and 3:00 p.m., Thursday, September 19, 2019.

Rule No.	File Date	Effective Date
6A-10.082	9/16/2019	10/6/2019
60FF1-5.012	9/16/2019	10/6/2019
61-24.004	9/18/2019	10/8/2019
61-30.501	9/18/2019	10/8/2019
61-31.501	9/18/2019	10/8/2019
61-35.004	9/18/2019	10/8/2019
64B19-11.001	9/18/2019	10/8/2019
68A-16.006	9/13/2019	10/3/2019
69K-1.001	9/16/2019	10/6/2019
69K-7.009	9/16/2019	10/6/2019
69K-7.0095	9/16/2019	10/6/2019
69K-7.012	9/16/2019	10/6/2019
69K-7.0125	9/16/2019	10/6/2019
69K-7.013	9/16/2019	10/6/2019

### LIST OF RULES AWAITING LEGISLATIVE APPROVAL SECTIONS 120.541(3), 373.139(7) AND/OR 373.1391(6), FLORIDA STATUTES

Rule No.	File Date	Effective Date
60FF1-5.009	7/21/2016	**/**/****
64B8-10.003	12/9/2015	**/**/****
69L-3.009	12/5/2018	6/25/2019

### PUBLIC SERVICE COMMISSION

Section 120.74, F.S., 2019 Regulatory Plan

Notice is hereby given that on September 19, 2019, the Florida Public Service Commission published its 2019 Regulatory Plan on the Commission's website pursuant to subparagraph 120.74(2)(a)3., F.S.

The Internet address through which the 2019 Regulatory Plan may be accessed is:

[http://www.floridapsc.com/Files/PDF/Publications/Regulatory Plans//2019.pdf](http://www.floridapsc.com/Files/PDF/Publications/RegulatoryPlans//2019.pdf)

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## Section XIII Index to Rules Filed During Preceding Week

NOTE: The above section will be published on Tuesday beginning October 2, 2012, unless Monday is a holiday, then it will be published on Wednesday of that week.