

Section I

Notice of Development of Proposed Rules and Negotiated Rulemaking

DEPARTMENT OF HEALTH

Board of Medicine

RULE NO.: RULE TITLE:
64B8-30.001 Definitions

PURPOSE AND EFFECT: The proposed rule amendment will define and clarify the meaning and duties of the term “indirect supervision” and will remove the sunset provision as it is no longer required.

SUBJECT AREA TO BE ADDRESSED: To define, clarify and update the rule text.

RULEMAKING AUTHORITY: 458.309, 458.347 FS.

LAW IMPLEMENTED: 458.347 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: Morgan Rexford, MPH, Executive Director, Board of Medicine/MQA, 4052 Bald Cypress Way, Bin #C03, Tallahassee, Florida 32399-3253, (850)245-4131 or Morgan.Rexford@flhealth.gov. THE PRELIMINARY TEXT OF THE PROPOSED RULE DEVELOPMENT IS AVAILABLE AND CAN BE OBTAINED, AT NO CHARGE, FROM THE CONTACT PERSON LISTED ABOVE.

DEPARTMENT OF HEALTH

Board of Osteopathic Medicine

RULE NO.: RULE TITLE:
64B15-6.001 Definitions

PURPOSE AND EFFECT: The proposed rule amendment will define and clarify the meaning and duties of the term “indirect supervision” and will remove the sunset provision as it is no longer required.

SUBJECT AREA TO BE ADDRESSED: To define, clarify and update the rule text.

RULEMAKING AUTHORITY: 459.005 FS.

LAW IMPLEMENTED: 459.022 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: Brittany Auclair, Executive Director, Board of Osteopathic Medicine/MQA, 4052 Bald Cypress Way, Bin #C06, Tallahassee, Florida 32399-3256, (850)245-4161 or by email at Brittany.Auclair@flhealth.gov.

THE PRELIMINARY TEXT OF THE PROPOSED RULE DEVELOPMENT IS AVAILABLE AND CAN BE OBTAINED, AT NO CHARGE, FROM THE CONTACT PERSON LISTED ABOVE.

Section II

Proposed Rules

DEPARTMENT OF BUSINESS AND PROFESSIONAL REGULATION

Construction Industry Licensing Board

RULE NO.: RULE TITLE:
61G4-17.001 Normal Penalty Ranges

PURPOSE AND EFFECT: The Board proposes an amendment to update and clarify the rule language regarding the terms for failing to compensate a subcontractor or supplier for services, labor, and materials.

SUMMARY: The Board proposes an amendment that updates the rule requirements for failure to compensate a subcontractor or supplier for services, labor, or materials and establishes a range of discipline appropriate for a violation of same.

SUMMARY OF STATEMENT OF ESTIMATED REGULATORY COSTS AND LEGISLATIVE RATIFICATION:

The Agency has determined that this rule 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 to provide a proposal for a lower cost regulatory alternative must do so in writing within 21 days after publication of this notice.

RULEMAKING AUTHORITY: 455.227, 455.2273, 489.108, 489.129 FS.

LAW IMPLEMENTED: 455.227, 455.2273, 489.129 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: Amanda Ackermann, Executive Director, Construction Industry Licensing Board, 2601 Blair Stone Road, Tallahassee, Florida 32399-1039, or telephone: (850)487-1395, or by electronic mail to Amanda.Ackermann@myfloridalicense.com

THE TEXT OF THE PROPOSED RULE IS:

61G4-17.001 Normal Penalty Ranges.

(1) The following guidelines shall be used in disciplinary cases, absent aggravating or mitigating circumstances and subject to other provisions of this chapter. For the purposes of this rule, the descriptions of the violations are abbreviated, and the full statute or rule cited should be consulted to determine the prohibited conduct.

VIOLATION	PENALTY RANGE	
	MINIMUM	MAXIMUM
(a) Through (y) No Change.		
(z) Section 489.1295, F.S.: Failure to compensate a subcontractor or supplier for services, labor, or materials.		\$2,500 fine and probation or suspension.
FIRST OFFENSE	\$1,000 fine.	
REPEAT OFFENSE	\$2,500 fine.	\$5,000 fine and probation, suspension, or revocation.

(2) Through (6) No Change.

Rulemaking Authority 455.227, 455.2273, 455.3373, 489.108, 489.129 FS. Law Implemented 455.227, 455.2273, 489.129 FS. History—New 10-26-86, Amended 12-21-92, Formerly 21E-17.001, Amended 11-2-93, 10-12-94, 7-2-95, 9-3-96, 10-31-96, 2-4-98, 8-2-98, 2-2-04, 1-24-05, 11-2-06, 2-3-15, 5-24-15, 12-6-22, 6-30-24, 1-18-26, _____.

NAME OF PERSON ORIGINATING PROPOSED RULE:
Construction Industry Licensing Board

NAME OF AGENCY HEAD WHO APPROVED THE PROPOSED RULE: Construction Industry Licensing Board

DATE PROPOSED RULE WAS APPROVED BY AGENCY HEAD: June 19, 2026

DATE NOTICE OF RULE DEVELOPMENT WAS PUBLISHED IN FAR: September 25, 2026

DEPARTMENT OF BUSINESS AND PROFESSIONAL REGULATION

Construction Industry Licensing Board

RULE NO.: RULE TITLE:

61G4-19.001 Citations

PURPOSE AND EFFECT: The Board proposes an amendment to update the rule language regarding violating Section 489.1295, F.S., failure to compensate a subcontractor or supplier for services, labor, and materials.

SUMMARY: The proposed rule language updates and clarifies the requirements regarding failing to compensate a subcontractor or supplier for services, labor, and materials.

SUMMARY OF STATEMENT OF ESTIMATED REGULATORY COSTS AND LEGISLATIVE RATIFICATION:

The Agency has determined that this rule 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 to provide a proposal for a lower cost regulatory alternative must do so in writing within 21 days after publication of this notice.

RULEMAKING AUTHORITY: 455.224, 455.227, 455.2235, 455.3373, 489.105, 489.108, 489.129 FS.

LAW IMPLEMENTED: 455.224, 455.225(3), 455.227, 455.2235, 455.2273, 489.129 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: Amanda Ackermann, Executive Director, Construction Industry Licensing Board, 2601 Blair Stone Road, Tallahassee, Florida 32399-1039, or telephone: (850)487-1395, or by electronic mail to Amanda.Ackermann@myfloridalicense.com

THE TEXT OF THE PROPOSED RULE IS:

61G4-19.001 Citations.

The following violations of Section 489.129(1), F.S., may be resolved by the issuance of a citation pursuant to Section 455.224, F.S., and Title 61G4, F.A.C. Where a provision other than s. 489.129(1), F.S., is cited as the basis for a violation, the violation is of Section 489.129(1)(j), F.S., by violating the referenced statute, rule, or board order.

(1) Through (15) No Change.

(16) Section 489.1295:

Failure to compensate a subcontractor or supplier for services, labor, or materials

In addition to the penalties specified above, the department may recover the costs of investigation associated with the citation. Citations shall be issued pursuant to this rule where no harm to consumers results from the violation. A licensee who has been issued three citations for the same offense shall be prosecuted pursuant to Section 455.225, F.S., for any subsequent violations. The disposition of reported violations prosecuted pursuant to Section 455.225, F.S., shall be according to Rule Chapter 61G4-12, F.A.C., and/or Rule Chapter 61G4-17, F.A.C. To the extent that any of these violations are appropriate for resolution by the issuance of a notice of noncompliance pursuant to Section 455.225(3), F.S., and Rule 61G4-23.001, F.A.C., the initial offense of a minor violation will be dealt with accordingly. Where a licensee fails to commence corrective action with 15 days of the Department's issuance of a notice of noncompliance or where the offense is other than the initial one, the Department may issue a citation pursuant to this rule.

Rulemaking Specific Authority 455.224, 489.105 FS. Law Implemented 455.224, 455.225(3) FS. History—New 1-19-92, Amended 12-21-92, Formerly 21E-19.001, Amended 10-12-94, 3-26-95, 6-5-95, 8-10-95, 1-1-96, 2-26-96, 11-25-97, 4-27-99, 4-24-01, ____.

NAME OF PERSON ORIGINATING PROPOSED RULE: Construction Industry Licensing Board

NAME OF AGENCY HEAD WHO APPROVED THE PROPOSED RULE: Construction Industry Licensing Board

DATE PROPOSED RULE WAS APPROVED BY AGENCY HEAD: June 19, 2026

DATE NOTICE OF RULE DEVELOPMENT WAS PUBLISHED IN FAR: September 25, 2026

DEPARTMENT OF BUSINESS AND PROFESSIONAL REGULATION

Construction Industry Licensing Board

RULE NO.: RULE TITLE:

61G4-22.001 Mediation

PURPOSE AND EFFECT: The Board proposes an amendment to update and clarify the rule language regarding Section 489.1295, F.S. failure to compensate a subcontractor or supplier for services, labor, and materials.

SUMMARY: The proposed rule language updates and clarifies the requirements regarding failing to compensate a subcontractor or supplier for services, labor, and materials.

SUMMARY OF STATEMENT OF ESTIMATED REGULATORY COSTS AND LEGISLATIVE RATIFICATION:

The Agency has determined that this rule 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 to provide a proposal for a lower cost regulatory alternative must do so in writing within 21 days after publication of this notice.

RULEMAKING AUTHORITY: 489.108, 455.2235 FS.

LAW IMPLEMENTED: 455.2235 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: Amanda Ackermann, Executive Director, Construction Industry Licensing Board, 2601 Blair Stone Road, Tallahassee, Florida 32399-1039, or telephone: (850)487-1395, or by electronic mail to Amanda.Ackermann@myfloridalicense.com

THE TEXT OF THE PROPOSED RULE IS:

61G4-22.001 Mediation.

The following alleged violations may be resolved by mediation using the procedure adopted by the department pursuant to Section 455.2235, F.S.:

(1) Through (7) No Change.

(8) Section 489.1295, F.S., Failing to compensate a subcontractor or supplier for services, labor, or materials.
Rulemaking Specific Authority 489.108, 455.2235 FS. Law Implemented 455.2235 FS. History—New 6-27-95, Amended 8-10-09.

NAME OF PERSON ORIGINATING PROPOSED RULE:
Construction Industry Licensing Board

NAME OF AGENCY HEAD WHO APPROVED THE PROPOSED RULE: Construction Industry Licensing Board

DATE PROPOSED RULE WAS APPROVED BY AGENCY HEAD: June 19, 2026

DATE NOTICE OF RULE DEVELOPMENT WAS PUBLISHED IN FAR: September 25, 2026

DEPARTMENT OF FINANCIAL SERVICES

Securities

RULE NOS.: RULE TITLES:

69W-200.001 Definitions

69W-200.002 General Industry Standards Incorporated by Reference

PURPOSE AND EFFECT: The purpose and effect is to amend the existing rules to incorporate by reference the current versions of general industry standards and to delete the definitions of “Bona Fide Employee” and “Qualified Institutional Buyer.”

SUMMARY: The rules are amended to incorporate by reference the current versions of general industry standards and to delete the definitions of “Bona Fide Employee” and “Qualified Institutional Buyer” and to update cross-references.

SUMMARY OF STATEMENT OF ESTIMATED REGULATORY COSTS AND LEGISLATIVE RATIFICATION:

The Agency has determined that this rule 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: The Agency expressly relies on an analysis of potential economic impact conducted by persons with subject matter knowledge of these rules.

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

RULEMAKING AUTHORITY: 517.03, 517.1215, 517.1217, FS.

LAW IMPLEMENTED: 517.07, 517.12, 517.021, 517.051, 517.061, 517.081, 517.1215, 517.1217, 517.161, 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: Ryann White, Office of General Counsel (850)410-9803, Ryann.White@flofr.gov.

THE TEXT OF THE PROPOSED RULE IS:

69W-200.001 Definitions.

As used in Chapter 517, F.S., and the rules promulgated thereunder, unless the context otherwise specifically requires:

(1) through (5) No change.

~~(6) “Bona Fide Employee” includes an employee, a partner, officer, director, manager, managing member, or trustee representing the issuer in the purchase, sale, or distribution of the issuer’s own securities if such employee, partner, officer, director, manager, managing member, or trustee has not participated in the distribution or sale of any securities within the preceding twelve (12) months and 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.~~

~~(6)(a)(7)(a)~~ Except as otherwise provided in this subsection, the term “Branch Office” means any location in this state of a dealer or investment adviser at which one or more associated persons regularly conduct the business of rendering investment advice or effecting any transactions in, or inducing or attempting to induce the purchase or sale of, any security or any location that is held out as such. Pursuant to Section 517.021(7), F.S., the Financial Services Commission may adopt

exceptions to this definition. The following locations shall not be deemed branch offices for purposes of Section 517.12(4), F.S., and are considered exceptions to the definition of a branch office under Section 517.021(7), F.S.:

1. through 9. No change.

(b) Notwithstanding the exclusions provided in subparagraph ~~(6)(a)2.~~ ~~(7)(a)2.~~, above, any location of a dealer that is responsible for supervising the activities of persons associated with the registrant at one or more non-branch locations of the registrant is considered to be a branch office.

(c) The term “business day” as used in subparagraph ~~(6)(a)3.~~ ~~(7)(a)3.~~, above, shall not include any partial business day provided that the associated person spends at least four hours on such business day at his or her designated branch office during the hours that such office is normally open for business.

(8) through (13) renumbered (7) through (12) No change.

~~(14) “Qualified Institutional Buyer” for purposes of Section 517.061(7), F.S., shall be defined as provided in Securities and Exchange Commission rule 144A(a) (17 C.F.R. §230.144A(a)), which is incorporated by reference in Rule 69W-200.002, F.A.C.~~

(15) through (17) renumbered (13) through (15) No change.

Rulemaking Authority 517.03(1) FS. Law Implemented 517.07, 517.021, 517.051, 517.061, 517.081, 517.12, 517.161 FS. History—New 12-5-79, Amended 9-20-82, Formerly 3E-200.01, Amended 12-8-87, 10-14-90, 7-31-91, 6-16-92, 1-10-93, 5-5-94, 10-20-97, 8-9-98, 8-19-99, 10-30-03, Formerly 3E-200.001, Amended 5-15-07, 9-30-10, 11-11-13, 9-22-14, 11-15-16, 1-18-21, 2-14-23, 3-21-24, 10-1-24, 9-16-25, ____.

69W-200.002 General Industry Standards Incorporated by Reference.

The following general industry standards as expressed in the statutes, rules and regulations of the various federal and self-regulatory agencies and regulatory associations and referenced in Division 69W, F.A.C., are hereby incorporated by reference and adopted by this rule. The material incorporated by reference in this rule may also be obtained from the Florida Office of Financial Regulation (Office), Division of Securities’ website at <https://flofr.gov/sitePages/MaterialsDS.htm>, except where noted for copyright restrictions. Materials subject to copyright restrictions may be inspected and examined by contacting the Florida Office of Financial Regulation, Division of Securities, at 200 E. Gaines Street, Tallahassee, Florida 32399, (850)487-9687 or the Florida Department of State at 500 S. Bronough Street, Tallahassee, Florida 32399, (850)245-6500.

(1) No change.

(2) Sections 2, 3, 4, 5, 6, 7, 8, and 10(a) of the Securities Act of 1933, (15 U.S.C. §§77b, 77c, 77d, 77e, 77f, 77g, 77h, and 77j) ~~(2-25-26)~~ ~~(2-13-25)~~, accessible at

<http://www.flrules.org/Gateway/reference.asp?No=Ref-20277>
~~<http://www.flrules.org/Gateway/reference.asp?No=Ref-18239>~~.

(3) Securities Exchange Act of 1934 (15 U.S.C. §§78a through 78qq) ~~(2-25-26)~~ ~~(2-14-25)~~, accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-20300>
~~<http://www.flrules.org/Gateway/reference.asp?No=Ref-18240>~~.

(4) Investment Company Act of 1940 (15 U.S.C. §§80a-1 through 80a-64) ~~(2-25-26)~~ ~~(7-6-23)~~, accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-20278>
~~<http://www.flrules.org/Gateway/reference.asp?No=Ref-16475>~~.

(5) The Investment Advisers Act of 1940 (15 U.S.C. §§80b-1 through 80b-21) ~~(2-25-26)~~ ~~(7-6-23)~~, accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-20279>
~~<http://www.flrules.org/Gateway/reference.asp?No=Ref-16478>~~.

(6) through (8) No change.

(9) Sections 856, 857 and 858 of the Internal Revenue Code of 1954 (26 U.S.C. §§856 through 858) ~~(2-25-26)~~ ~~(3-11-19)~~, accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-20280>
~~<http://www.flrules.org/Gateway/reference.asp?No=Ref-11287>~~.

(10) through (12) No change.

(13) Regulation S-X (17 C.F.R. Part 210) ~~(4-1-25 edition)~~ ~~(4-1-24 _____ edition)~~, accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-20281>
~~<http://www.flrules.org/Gateway/reference.asp?No=Ref-18241>~~.

(14) SEC Rules 134, 134a, 135a, 144, 156, 419, 481 and 482, (17 C.F.R. §§230.134, 230.134a, 230.135a, 230.144, 230.156, 230.419, 230.481 and 230.482) ~~(4-1-25 edition)~~ ~~(4-1-24 edition as amended in 89 FR 60082 (July 24, 2024) and 89 FR 90590 (Nov. 18, 2024))~~ accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-20282>
~~<http://www.flrules.org/Gateway/reference.asp?No=Ref-18242>~~.

(15) through (17) No change.

(18) SEC Rule 501(a) of Regulation D (17 C.F.R. §230.501(a)) ~~(4-1-25 edition)~~ ~~(4-1-21 edition)~~, accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-20283>
~~<http://www.flrules.org/Gateway/reference.asp?No=Ref-15089>~~.

(19) through (26) No change.

(27) SEC Rule 15c3-1 and appendices (17 C.F.R. §§240.15c3-1; 240.15c3-1a; 240.15c3-1b; 240.15c3-1c; 240.15c3-1d; 240.15c3-1e; 240.15c3-1f; 240.15c3-1g) ~~(4-1-25 edition)~~ ~~(4-1-20 _____ edition)~~, accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-20284>
~~<http://www.flrules.org/Gateway/reference.asp?No=Ref-12530>~~.

(28) SEC Rule 15c3-3 and Exhibit A (17 C.F.R. §§240.15c3-3 and 240.15c3-3a) ~~(4-1-25 edition)~~ ~~(4-1-24 edition)~~, accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-20285>
~~<http://www.flrules.org/Gateway/reference.asp?No=Ref-18375>~~.

(29) through (30) No change.

(31) SEC Rules 17a-3 and 17a-4 (17 C.F.R. §§240.17a-3 and 240.17a-4) (4-1-25 edition) (4-1-22 edition as amended in 88 F.R. 39994 (June 20, 2023)), accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-20286> ~~http://www.flrules.org/Gateway/reference.asp?No=Ref-16483.~~

(32) SEC Rules 17a-5 and 17a-10 (17 C.F.R. §§240.17a-5 and 240.17a-10) (4-1-25 edition) (6-1-14) and 17a-10 (17 C.F.R. §240.17a-10) (12-9-81), accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-20287> ~~http://www.flrules.org/Gateway/reference.asp?No=Ref-04523.~~

(33) through (37) No change.

(38) Regulation S-P §248.30 (17 C.F.R. §248.30) (4-1-25 edition) (4-1-24 edition), accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-20288> ~~http://www.flrules.org/Gateway/reference.asp?No=Ref-18378.~~

(39) SEC Rules 204-1, 204-2, 204-3, 205-1, 205-2, 205-3, 206(3)-1, 206(3)-2, 206(4)-1 (17 C.F.R. §§275.204-1; 275.204-2; 275.204-3; 275.205-1; 275.205-2; 275.205-3; 275.206(3)-1; 275.206(3)-2; 275.206(4)-1 (4-1-25 edition) (4-1-23 edition), accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-20289> ~~http://www.flrules.org/Gateway/reference.asp?No=Ref-16965.~~

(40) through (41) No change.

(42) FINRA Rule 2000 Series (2010 through 2370) (existing as of 2-25-26 2-17-25), accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-20291> ~~http://www.flrules.org/Gateway/reference.asp?No=Ref-18379.~~

(43) FINRA Rule 3000 Series (3110 through 3310) (existing as of 2-25-26 2-17-25), accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-20293> ~~http://www.flrules.org/Gateway/reference.asp?No=Ref-18380.~~

(44) FINRA Rule 4000 Series (4110 through 4590) (existing as of 2-25-26 2-17-25), accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-20294> ~~http://www.flrules.org/Gateway/reference.asp?No=Ref-18381.~~

(45) FINRA Rule 5000 Series (5110 through 5350) (existing as of 2-25-26 2-17-25), accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-20295> ~~http://www.flrules.org/Gateway/reference.asp?No=Ref-18382.~~

(46) FINRA Rule 6000 Series (6110 through 6898) (existing as of 2-25-26 2-17-25), accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-20296> ~~http://www.flrules.org/Gateway/reference.asp?No=Ref-18400.~~

(47) FINRA Rule 7000 Series (7110 through 7730) (existing as of 2-25-26 2-18-25), accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-20297> ~~http://www.flrules.org/Gateway/reference.asp?No=Ref-18403.~~

(48) FINRA Rule 11000 Series (11100 through 11900) (existing as of 2-25-26 2-18-25), accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-20298> ~~http://www.flrules.org/Gateway/reference.asp?No=Ref-18401.~~

(49) MSRB Definitional Rules D-1 to D-15, and General Rules G-1 to G-48 (existing as of 10-1-25 10-1-23), accessible at <http://www.flrules.org/Gateway/reference.asp?No=Ref-20299> ~~http://www.flrules.org/Gateway/reference.asp?No=Ref-18402.~~

(50) through (53) No change.

Rulemaking Authority 517.03(1), 517.1215(2), 517.1217 FS. Law Implemented 517.081, 517.12(4), 517.1215, 517.1217, 517.161(1) FS. History—New 9-22-14, Amended 5-6-15, 11-26-19, 1-18-21, 2-14-23, 3-21-24, 10-1-24, 9-16-25.

NAME OF PERSON ORIGINATING PROPOSED RULE: Kerry Finegan, Director, Division of Securities

NAME OF AGENCY HEAD WHO APPROVED THE PROPOSED RULE: Financial Services Commission

DATE PROPOSED RULE WAS APPROVED BY AGENCY HEAD: September 29, 2026

DATE NOTICE OF RULE DEVELOPMENT WAS PUBLISHED IN FAR: March 26, 2026

DEPARTMENT OF FINANCIAL SERVICES

Securities

RULE NO.: RULE TITLE:

69W-400.003 Rules for Government Securities Under Section 517.051(1), F.S

PURPOSE AND EFFECT: The purpose and effect is to revise the information to be contained in an offering circular for an offering under section 517.051(1), Florida Statutes.

SUMMARY: The rule is amended to revise the information deemed to satisfy the full and fair disclosure requirement for issuers and guarantors of securities under section 517.051(1), Florida Statutes.

SUMMARY OF STATEMENT OF ESTIMATED REGULATORY COSTS AND LEGISLATIVE RATIFICATION:

The Agency has determined that this rule 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: The Agency expressly relies on an analysis of potential economic impact conducted by persons with subject matter knowledge of these rules.

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

RULEMAKING AUTHORITY: 517.03, 517.051(1), FS.

LAW IMPLEMENTED: 517.051(1), 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: Ryann White, Office of General Counsel (850)410-9803, Ryann.White@flofr.gov.

THE TEXT OF THE PROPOSED RULE IS:

69W-400.003 Rules for Government Securities Under Section 517.051(1), F.S.

For purposes of the exemption of section 517.051(1), F.S., any issuer or guarantor of securities which are or have been in default shall be deemed to have satisfied the requirement of full and fair disclosure, thereby entitling the securities issued or guaranteed by such person to the exemption granted therein, if the following information is contained in an offering circular provided to each offeree prior to any sale of such securities:

(1) A description of each and every default by the issuer and guarantor including:

(a) through (d) No change.

(e) Whether there were any legal proceedings, civil, criminal, or administrative, commenced as a result of or related to any default(s), and if so, for each such proceeding, a description of the proceedings including:

1. No change.

2. In what forum ~~The name and address of the forum where~~ such proceeding was filed;

3. When such proceeding was filed;

3. through 5. renumbered 4. through 6. No change.

(f) No change.

(g) A discussion of each pending legal proceeding which may materially affect the issuer's and guarantor's ability to perform its obligations to the present and future holders of the securities being offered. Such discussion shall include:

1. The nature of such type of proceeding;

2. through 3. No change;

4. The substantive allegations of the pleadings at issue;

5. The name and address of the attorney of record for the plaintiffs or investors;

5. through 7. renumbered 6. through 8. No change.

(h) through (i) No change.

(2) No change.

Rulemaking Authority 517.03(1), 517.051(1) FS. Law Implemented 517.051(1) FS. History—New 12-8-87, Amended 2-17-93, Formerly 3E-400.003, Amended 5-15-07, ____.

NAME OF PERSON ORIGINATING PROPOSED RULE:

Kerry Finegan, Director, Division of Securities

NAME OF AGENCY HEAD WHO APPROVED THE PROPOSED RULE: Financial Services Commission

DATE PROPOSED RULE WAS APPROVED BY AGENCY HEAD: September 29, 2026

DATE NOTICE OF RULE DEVELOPMENT WAS PUBLISHED IN FAR: March 27, 2026

DEPARTMENT OF FINANCIAL SERVICES

Securities

RULE NO.:

RULE TITLE:

69W-500.006

Commissions and Compensation Payable in Connection with an Offering Exempted Pursuant to Section 517.061(10), F.S.

PURPOSE AND EFFECT: The purpose and effect is to remove the "Note" provision of the rule.

SUMMARY: The rule is amended to remove the "Note" provision of the rule.

SUMMARY OF STATEMENT OF ESTIMATED REGULATORY COSTS AND LEGISLATIVE RATIFICATION:

The Agency has determined that this rule 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: The Agency expressly relies on an analysis of potential economic impact conducted by persons with subject matter knowledge of these rules.

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

RULEMAKING AUTHORITY: 517.03(1), FS

LAW IMPLEMENTED: 517.061(10), 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: Ryann White, Office of General Counsel (850)410-9803, Ryann.White@flofr.gov.

THE TEXT OF THE PROPOSED RULE IS:

69W-500.006 Commissions and Compensation Payable in Connection with an Offering Exempted Pursuant to Section 517.061(10), F.S.

Fees paid to attorneys and accountants and other professionals for professional services rendered in connection with the issuance of securities pursuant to Section 517.061(10), F.S., shall not be deemed to constitute compensation for purposes of Section 517.021(10)(b)7.d., F.S.; however, if fees or compensation are paid for the sale of securities this shall be deemed to constitute compensation for purposes of Section 517.021(10)(b)7.d., F.S., and would require registration of the professional under Section 517.12, F.S.

~~NOTE: The Office of Financial Regulation is deeply concerned about the payment of fees to persons who are acting as dealers but are not registered as such when securities are offered and sold pursuant to Florida's private placement section. The practice of disguising or characterizing these fees as something other than a sales commission not only defeats the availability of the exemption, but also produces an enormous contingent liability for the issuer. Because of these ramifications, an issuer availing itself of the private placement section should be cautious about any fees that are paid to persons who may subsequently be deemed dealers, including such professionals as attorneys, accountants, and offeree representatives.~~

Rulemaking Authority 517.03 FS. Law Implemented 517.061(10) FS. History—New 12-5-79, Amended 9-20-82, Formerly 3E-500.06, Amended 7-31-91, Formerly 3E-500.006, Amended 3-21-24, 10-20-24, ____.

NAME OF PERSON ORIGINATING PROPOSED RULE:
Kerry Finegan, Director, Division of Securities
NAME OF AGENCY HEAD WHO APPROVED THE PROPOSED RULE: Financial Services Commission
DATE PROPOSED RULE WAS APPROVED BY AGENCY HEAD: September 29, 2026
DATE NOTICE OF RULE DEVELOPMENT WAS PUBLISHED IN FAR: March 27, 2026

DEPARTMENT OF FINANCIAL SERVICES

Securities

RULE NOS.: RULE TITLES:

69W-500.019 Accredited Investor Exemption

69W-500.020 Florida Invest Local Exemption

PURPOSE AND EFFECT: The purpose and effect is to update Form OFR-FAIE, Notice of Transaction Under Florida Accredited Investor Exemption and Form OFR-FILE, Notice of Transaction Under Florida Invest Local Exemption for use in OFR's new electronic filing system.

SUMMARY: The rules are amended to update Form OFR-FAIE, Notice of Transaction Under Florida Accredited Investor Exemption and Form OFR-FILE, Notice of Transaction Under

Florida Invest Local Exemption for use in OFR's new electronic filing system.

SUMMARY OF STATEMENT OF ESTIMATED REGULATORY COSTS AND LEGISLATIVE RATIFICATION:

The Agency has determined that this rule 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: The Agency expressly relies on an analysis of potential economic impact conducted by persons with subject matter knowledge of these rules.

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

RULEMAKING AUTHORITY: 517.03(1), 517.061(11), 517.0612, FS

LAW IMPLEMENTED: 517.061(11), 517.0612, 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: Ryann White, Office of General Counsel (850)410-9803, Ryann.White@flofr.gov.

THE TEXT OF THE PROPOSED RULE IS:

69W-500.019 Accredited Investor Exemption.

Issuers conducting an offering pursuant to Section 517.061(11), F.S., shall file a notice of transaction within fifteen (15) days after the first sale is made in this state the Notice of Transaction Under Florida Accredited Investor Exemption (Form OFR-FAIE) electronically on the Office of Financial Regulation's website at <https://real.flofr.gov> through the Regulatory Enforcement and Licensing (REAL) System or through the North American Securities Administrators Association Electronic Filing Depository (EFD) at <https://efdnasaa.org>. A notice-filing shall include the following:

(1) Notice of Transaction Under Florida Accredited Investor Exemption, Form OFR-FAIE ~~(12-26) (08-25)~~. A sample form is hereby incorporated by reference and available at <http://www.flrules.org/Gateway/reference.asp?No=Ref-20309> ~~http://www.flrules.org/Gateway/reference.asp?No=Ref-18421~~ or from the Office at <https://flofr.gov/divisions->

offices/division-of-securities/forms-incorporated-by-reference-to-division-of-securities-rules.

(2) through (3) No change.

Rulemaking Authority 517.03(1), 517.061(11) FS. Law Implemented 516.061(11) FS. History—New 10-20-24, Amended 9-16-25,____.

69W-500.020 Florida Invest Local Exemption.

(1) An issuer intending to conduct an offering of securities under the Florida Invest Local Exemption, Section 517.0612, F.S., shall file at least five (5) business days before the offering commences the Notice of Transaction Under Florida Invest Local Exemption (Form OFR-FILE) electronically on the Office of Financial Regulation's website at <https://real.flofr.gov> through the Regulatory Enforcement and Licensing System (REAL) System. A notice-filing shall include the following:

(a) Notice of Transaction Under Florida Invest Local Exemption, Form OFR-FILE ~~(12-26) (08-25)~~. A sample form is hereby incorporated by reference and available at <http://www.flrules.org/Gateway/reference.asp?No=Ref-20311> ~~<http://www.flrules.org/Gateway/reference.asp?No=Ref-18411>~~ or from the Office at <https://flofr.gov/divisions-offices/division-of-securities/forms-incorporated-by-reference-to-division-of-securities-rules>.

(b) through (c) No change.

(2) No change.

Rulemaking Authority 517.03(1), 517.0612(10) FS. Law Implemented 516.0612(10) FS. History—New 9-16-25,____.

NAME OF PERSON ORIGINATING PROPOSED RULE:

Kerry Finegan, Director, Division of Securities

NAME OF AGENCY HEAD WHO APPROVED THE

PROPOSED RULE: Financial Services Commission

DATE PROPOSED RULE WAS APPROVED BY AGENCY

HEAD: September 29, 2026

DATE NOTICE OF RULE DEVELOPMENT WAS

PUBLISHED IN FAR: September 18, 2026

DEPARTMENT OF FINANCIAL SERVICES

Securities

RULE NOS.: RULE TITLES:

69W-600.0015	Canadian Dealer Notice-Filing
69W-600.0018	Notice-Filing and Requirements for Florida Limited Offering Exemption Issuers
69W-600.0019	Registration of Florida Limited Offering Intermediaries
69W-600.0145	Requirements for Florida Intrastate Crowdfunding Intermediaries

PURPOSE AND EFFECT: The purpose and effect is to require a Canadian Broker-Dealer to provide its Canadian Revenue Agency Business Number, to update Form OFR CAN, Notice Filing for Canadian Broker-Dealer, Form FLO, Notice of Florida Limited Offering, and Form FLO-INT, Registration of

Florida Limited Offering Intermediary application for use in OFR's new electronic filing system, and to implement Chapter 2024-168, and Chapter 2025-28, Laws of Florida.

SUMMARY: The rules are amended to require a Canadian Broker-Dealer to provide its Canadian Revenue Agency Business Number, to update Form OFR CAN, Notice Filing for Canadian Broker-Dealer, Form FLO, Notice of Florida Limited Offering, and Form FLO-INT, Registration of Florida Limited Offering Intermediary application for use in OFR's new electronic filing system, and to implement Chapter 2024-168, and Chapter 2025-28, Laws of Florida.

SUMMARY OF STATEMENT OF ESTIMATED REGULATORY COSTS AND LEGISLATIVE RATIFICATION:

The Agency has determined that this rule 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: The Agency expressly relies on an analysis of potential economic impact conducted by persons with subject matter knowledge of these rules.

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

RULEMAKING AUTHORITY: 517.03, 517.12, 517.121, 517.0611, 517.1611, FS.

LAW IMPLEMENTED: 517.12, 517.121, 517.0611, 517.1611, 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: Ryann White, Office of General Counsel (850)410-9803, Ryann.White@flofr.gov.

THE TEXT OF THE PROPOSED RULE IS:

69W-600.0015 Canadian Dealer Notice-Filing.

(1) New Notice-Filings.

(a) No change.

(b) A notice-filing shall include the following:

1. Notice Filing for Canadian Broker-Dealer, OFR Form CAN ~~(eff. 12/26) (effective 9/15)~~, which is hereby incorporated by reference and available at <http://www.flrules.org/Gateway/reference.asp?No=Ref-20324>

<http://www.flrules.org/Gateway/reference.asp?No=Ref-06091>,
or <https://flofr.gov/sitePages/documents/OFR-Can.pdf>;

2. through 4. No change.

(2) through (6) No change.

Rulemaking Authority 517.03, 517.12, 517.121(1) FS. Law Implemented 517.12 FS. History—New 5-15-07, Amended 11-22-10, 12-29-15, 1-18-21, 3-21-24,___.

69W-600.0018 Notice-Filing and Requirements for Florida Limited Offering Exemption Issuers.

(1) Notice-filing.

(a) No change.

(b) A notice-filing shall include the following:

1. Notice of Florida Limited Offering Pursuant to Section 517.0611, Florida Statutes, Form FLO, effective 12/2026 ~~08/2025~~. A sample form is hereby incorporated by reference and available at <http://www.flrules.org/Gateway/reference.asp?No=Ref-20325> ~~<http://www.flrules.org/Gateway/reference.asp?No=Ref-18412>~~ or from the Office at https://flofr.gov/divisions-offices/division-of-securities/forms-incorporated-by-reference-to-division-of-securities-rules_.

2. A copy of the issuer's disclosure statement, pursuant to Section 517.0611(8) ~~517.0611(7)~~, F.S.

3. Statutory fee in the amount required by Section 517.0611(5) ~~517.0611(8)~~, F.S.

(2) through (5) No change.

Rulemaking Authority 517.03(1), 517.0611 FS. Law Implemented 517.0611 FS. History—New 12-29-15, Amended 9-16-25,___.

69W-600.0019 Registration of Florida Limited Offering Intermediaries.

(1) New Applications.

(a) No change.

(b) An application shall include the following:

1. Registration of Florida Limited Offering Intermediary Application, FLO-INT (12/26) ~~(10/24)~~, effective 12/2026 ~~10/2024~~. A sample form (which includes its instructions, which define certain terms in Section 517.12(20), F.S.) is hereby incorporated by reference and available at <http://www.flrules.org/Gateway/reference.asp?No=Ref-20326> ~~<http://www.flrules.org/Gateway/reference.asp?No=Ref-16982>~~, or from the Office at <https://flofr.gov/sitePages/MaterialsDS.htm>;

2. through 4. No change.

(2) through (7) No change.

Rulemaking Authority 517.03(1), 517.12(20), 517.121(1), 517.1611 FS. Law Implemented 517.12(20), 517.1611 FS. History—New 12-29-15, Amended 1-18-21, 3-21-24, 10-1-24, 9-16-25,___.

69W-600.0145 Requirements for Florida Limited Offering Intrastate Crowdfunding Intermediaries.

(1) Requirements of intermediaries to reduce risk of fraud. Pursuant to Section 517.0611(12)(a) ~~517.0611(13)(a)~~, F.S., an intermediary must take measures to reduce the risk of fraud with respect to transactions. Such measures include denying or removing an issuer's access to the intermediary's platform if:

(a) The issuer fails to either provide the intermediary, or ~~prospective to potential~~ investors through the intermediary's platform, the disclosure statement required under Section 517.0611(8) ~~517.0611(7)~~, F.S.;

(b) The issuer fails to have an account in a federally insured escrow agreement with a financial institution as required under ~~Section~~ Sections 517.0611(4)(f) and 517.0611(8), F.S., in order for the intermediary to comply with its duty duties under section 517.0611(12)(b)1. ~~Sections 517.0611(13)(f) and (g) and 517.0611(15), F.S.;~~

(c) No change.

(d) The intermediary has knowledge that the issuer has made material false statements or material omissions to investors or prospective potential investors through the intermediary's platform.

(2) Books and records requirements.

(a) Generally. An intermediary shall make and preserve the following records for five years, the first two years in an easily accessible place:

1. through 3. No change;

4. All records related to persons that use communication channels provided by the intermediary to promote an issuer's securities or communicate with prospective potential investors;

5. through 9. No change.

(b) No change.

(c) Format. The records required to be maintained and preserved pursuant to paragraph (2)(a) ~~(9)(a)~~ of this rule, must be produced, reproduced, and maintained in the original, non-alterable format in which they were created.

(d) through (f) No change.

(3) No change.

Rulemaking Authority 517.03(1), 517.121, 517.1611 FS. Law Implemented 517.121, 517.1611 FS. History—New 12-29-15,___.

NAME OF PERSON ORIGINATING PROPOSED RULE:

Kerry Finegan, Director, Division of Securities

NAME OF AGENCY HEAD WHO APPROVED THE PROPOSED RULE: Financial Services Commission

DATE PROPOSED RULE WAS APPROVED BY AGENCY HEAD: September 29, 2026

DATE NOTICE OF RULE DEVELOPMENT WAS PUBLISHED IN FAR: September 18, 2026

DEPARTMENT OF FINANCIAL SERVICES**Securities**

RULE NO.: RULE TITLE:

69W-1000.001 Disciplinary Guidelines

PURPOSE AND EFFECT: The purpose and effect is to add a table listing minor violations for which a notice of non-compliance shall be issued for a first or second violation if such violation does not result in economic harm to a person or adversely affect public welfare or create a significant risk of such harm and to update the Office of Financial Regulation Disciplinary Guidelines for Chapter 517, Florida Statutes (F.S.) and Division 69W, Florida Administrative Code (F.A.C.) ("Disciplinary Guidelines") incorporated by reference in the rule.

SUMMARY: The rule is amended to add a table listing minor violations for which a notice of non-compliance shall be issued for a first or second violation if such violation does not result in economic harm to a person or adversely affect public welfare or create a significant risk of such harm and to update the Office of Financial Regulation Disciplinary Guidelines for Chapter 517, Florida Statutes (F.S.) and Division 69W, Florida Administrative Code (F.A.C.) ("Disciplinary Guidelines") incorporated by reference in the rule. The Disciplinary Guidelines are reorganized, references to notices of non-compliance are removed as a penalty throughout, violations that are rarely cited are removed, and violations with similar penalties are consolidated. Additionally, the following changes were made: branch office notice penalties were reduced, a violation of investment adviser associated person continuing education requirements was added, violations of FINRA Rules 6000 Series were added (these rules were previously incorporated by reference in OFR rules but were not added to the disciplinary guidelines), consolidated violations for Rule 69W-600.013(1)(m), F.A.C., which concerns the sale of non-compliant, non-exempt securities where the issuer of such securities has failed to comply with the reporting requirements of sections 13 or 15D of the Securities Exchange Act of 1934.

SUMMARY OF STATEMENT OF ESTIMATED REGULATORY COSTS AND LEGISLATIVE RATIFICATION:

The Agency has determined that this rule 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: The Agency expressly relies on an analysis of potential economic impact conducted by persons with subject matter knowledge of these rules.

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

RULEMAKING AUTHORITY: 517.1611, FS.

LAW IMPLEMENTED: 517.111, 517.1202, 517.121, 517.161, 517.1611(1), 517.191(4), (9), (10), 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: Ryann White, Office of General Counsel (850)410-9803, Ryann.White@flofr.gov.

THE TEXT OF THE PROPOSED RULE IS:

69W-1000.001 Disciplinary Guidelines.

(1) Pursuant to Section 517.1611, F.S., disciplinary guidelines applicable to each ground for which disciplinary action may be imposed by the Office against an individual or a firm under Chapter 517, F.S., are hereby adopted. The disciplinary guidelines are contained in the Office of Financial

Regulation Disciplinary Guidelines for Chapter 517, Florida Statutes (F.S.) and Division 69W, Florida Administrative Code (F.A.C.) (effective 12/2026) ~~(effective 08-25)~~, which is hereby incorporated by reference and available at <https://www.flrules.org/gateway/reference.asp?NO=Ref-20327> ~~<https://www.flrules.org/gateway/reference.asp?NO=Ref-18414>~~. A copy of the disciplinary guidelines may be obtained by mail from the Florida Office of Financial Regulation, Division of Securities, 200 E. Gaines Street, Tallahassee, Florida 32399, or may be obtained electronically through the following website: <https://flofr.gov/divisions-offices/division-of-securities/forms-incorporated-by-reference-to-division-of-securities-rules>.

(2) through (5) No change.

(6)(a) The following table lists minor violations for which a notice of non-compliance shall be issued for a first or second violation if such violation does not result in economic harm to a person or adversely affect public welfare or create a significant risk of such harm. A notice of non-compliance is a notice issued by the Office that identifies the specific rule(s) and/or statute(s) that are being violated, provides information on how to comply with the rule(s) and/or statute(s), and specifies a reasonable time for the violator to comply with the rule(s) and/or statute(s). If the violator does not comply with the rule(s) and/or statute(s) identified in the notice of non-compliance within the specified timeframe, or the violator has received two or more notices on non-compliance for the same violation, the Office may impose discipline consistent with a first occurrence as set forth in the Office of Financial Regulation Disciplinary Guidelines for Chapter 517, Florida Statutes (F.S.) and Division 69W, Florida Administrative Code (F.A.C.) (effective 12/2026).

#	Statute/Rule Violations	Short Description	Conditions
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1	517.12, 69W-600.001(3), (5), (8)(c), 9(a), (10)(a) through (c) and 11(a) through (c); 69W-600.002, (3), (5), (8)(a), (9)(a) and (10)(a) through (c); 69W-600.0022, (3), (5), (8)(a), (9)(a) and (10)(a) through (c).	Registration of Dealer (FINRA and Non-FINRA) and Dealer Associated Person	- less than 180 days of unregistered activity by dealer or associated person of dealer with active license in another jurisdiction; - less than 90 days of unregistered activity caused by failure to renew; - application amendment or disclosure filing deficiencies cured within 90 days of the 30-day filing deadline excluding criminal disclosures; - failure to maintain a principal and/or at least one registered associated person for less than 90 days; - late termination of registration if filed within 90 days of the 30-day filing deadline; - Alternate Business Name violation if cured within 90 days of written notification of violation.
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2	517.12, 69W-600.0016, (3), (5), (8)(c), (9)(a), 10, (11)(a) through (c), (12)(a) through (d)	<u>Investment Adviser Registration</u>	- less than 180 days of <u>unregistered activity</u> by <u>investment adviser</u> with <u>active registration</u> in another <u>jurisdiction</u> who is <u>approved for registration</u> by the <u>Office</u>; - less than 90 days <u>unregistered activity</u> due to <u>failure to renew</u>; - <u>application amendment</u> or <u>disclosure filing deficiencies cured</u> within 90 days of the <u>30-day filing deadline</u> <u>excluding criminal disclosures</u>; - <u>annual ADV amendment</u> if <u>filing deficiency cured</u> within 90 days of <u>90-day end of fiscal year filing deadline</u>; - <u>failure to maintain a principal and/or at least one registered associated person</u> for less than 90 days; - <u>late Termination of Registration</u> if <u>filed</u> within 90 days of the <u>30-day filing deadline</u>.
3	517.12, 69W-600.0024(3), (5), (8)(a), (9)(a), and (10)(a) and (c).	<u>Investment Adviser Associated Person Registration</u> (Florida and Federal Covered Adviser)	- less than 180 days of <u>unregistered activity</u> by <u>associated person</u> of <u>investment adviser</u> (Florida or Federal Covered Adviser) with <u>active license</u> in another <u>jurisdiction</u>; - less than 90 days <u>unregistered activity</u> due to <u>failure to renew</u>; - <u>amendment or disclosure filing deficiencies cured</u> within 90 days of the <u>30-day filing deadline</u> <u>excluding criminal disclosures</u>; - <u>late termination of registration</u> if <u>filed</u> within 90 days of the <u>30-day filing deadline</u>; - <u>corrective action</u> on <u>alternate business name violation</u> taken within 90 days of <u>written notification of the violation</u>.

<u>4</u>	<u>517.1202</u> <u>69W-</u> <u>600.0031(3),</u> <u>(4), (5)(a) and</u> <u>(6). 69W-</u> <u>600.0032 (3),</u> <u>(4), (5)(a) and</u> <u>(6). 69W-</u> <u>600.0034 (2),</u> <u>(3), (4), and</u> <u>(5).</u>	<u>Branch Office</u> <u>Notice-Filing</u> <u>(FINRA Dealer,</u> <u>Non-FINRA</u> <u>Dealer,</u> <u>Investment</u> <u>Adviser)</u>	<u>-late notice-filing</u> <u>within 90 days of</u> <u>engaging in</u> <u>business from</u> <u>branch location;</u> <u>- lapse of active</u> <u>notice-filing for</u> <u>less than 90 days</u> <u>resulting from a</u> <u>failure to renew;</u> <u>- amendment</u> <u>filing deficiencies</u> <u>if filed within 90</u> <u>days of the 30-</u> <u>day filing</u> <u>deadline;</u> <u>- late termination</u> <u>of registration if</u> <u>filed within 90</u> <u>days of the 30-</u> <u>day filing</u> <u>deadline;</u> <u>- corrective action</u> <u>on alternate</u> <u>business name</u> <u>violation taken</u> <u>within 90 days of</u> <u>written</u> <u>notification of the</u> <u>violation.</u>
<u>5</u>	<u>69W-</u> <u>600.002(11)</u>	<u>Continuing</u> <u>Education</u> <u>Requirements</u> <u>(FINRA)</u>	<u>- deficiency cured</u> <u>within 90 days</u> <u>from date of</u> <u>violation.</u>

<u>6</u>	<u>69W-</u> <u>600.012(1)</u>	<u>Confirmation of</u> <u>Transactions</u>	<u>- substantial</u> <u>compliance,</u> <u>discrete</u> <u>violations and not</u> <u>systematic or</u> <u>pervasive; and</u> <u>- prompt and</u> <u>satisfactory</u> <u>completion of</u> <u>remedial or</u> <u>corrective action</u> <u>within 15 days, or</u> <u>other deadline set</u> <u>by the Office,</u> <u>from receipt of</u> <u>written</u> <u>notification of the</u> <u>violations</u>
<u>7</u>	<u>69W-</u> <u>600.012(2) and</u> <u>(3)</u>	<u>Customer</u> <u>Contracts –</u> <u>Prohibitions;</u> <u>Copies of</u> <u>Contracts to be</u> <u>Provided to</u> <u>Customers</u>	<u>- substantial</u> <u>compliance,</u> <u>discrete</u> <u>violations and not</u> <u>systematic or</u> <u>pervasive; and</u> <u>- prompt and</u> <u>satisfactory</u> <u>completion of</u> <u>remedial or</u> <u>corrective action</u> <u>within 15 days, or</u> <u>other deadline set</u> <u>by the Office,</u> <u>from receipt of</u> <u>written</u> <u>notification of the</u> <u>violations.</u>

8	69W-600.013(1)(h)1 and (2)(h), FINRA Rule 2100 Series excluding Rules 2111, 2121 and 2150	<u>Transactions with Customers</u>	- deficiencies do not cause, relate to or involve a violation of FINRA Rule 2010 (Standards of Commercial Honor and Principles of Trade), FINRA Rule 3010 (Supervision), or FINRA Rule 3020 (Supervisory Control System); and - prompt and satisfactory completion of remedial or corrective action within 15 days, or other deadline set by the Office, from receipt of written notification of the violations.
9	69W-600.013(1)(h)1 and (2)(h), FINRA Rule 2121	<u>Fair Prices and Commissions</u>	- unintentional violation caused by system or other operational error and dealer promptly reimburses customers for excessive amount with interest; - deficiencies did not cause, relate to, or involve a violation of FINRA Rule 2010 (Standards of Commercial Honor and Principles of Trade), FINRA Rule 3010 (Supervision), or FINRA Rule 3020 (Supervisory Control System); and - prompt and satisfactory completion of remedial or corrective action within 15 days, or other deadline set by the Office, from receipt of written notification of the violations.

<u>1</u> <u>0</u>	<u>69W-</u> <u>600.013(1)(h)1</u> <u>and (2)(h),</u> <u>FINRA Rule</u> <u>2200 Series</u>	<u>Communication</u> <u>s and</u> <u>Disclosures</u>	<u>- deficiencies do</u> <u>not involve</u> <u>intentional</u> <u>misrepresentation</u> <u>s and/or</u> <u>omissions;</u> <u>- deficiencies did</u> <u>not cause, relate</u> <u>to, or involve a</u> <u>violation of</u> <u>FINRA Rule</u> <u>2010 (Standards</u> <u>of Commercial</u> <u>Honor and</u> <u>Principles of</u> <u>Trade), FINRA</u> <u>Rule 3010</u> <u>(Supervision), or</u> <u>FINRA Rule</u> <u>3020</u> <u>(Supervisory</u> <u>Control System);</u> <u>and</u> <u>- prompt and</u> <u>satisfactory</u> <u>completion of</u> <u>remedial or</u> <u>corrective action</u> <u>within 15 days, or</u> <u>other deadline set</u> <u>by the Office,</u> <u>from receipt of</u> <u>written</u> <u>notification of the</u> <u>violations.</u>
<u>1</u> <u>1</u>	<u>69W-</u> <u>600.013(1)(h)1</u> <u>and (2)(h),</u> <u>FINRA Rule</u> <u>3000 Series</u> <u>excluding</u> <u>Rules 3110,</u> <u>3120, 3130,</u> <u>3240, 3260,</u> <u>3280 and 3310</u>	<u>Supervision and</u> <u>Responsibilities</u> <u>Relating to</u> <u>Associated</u> <u>Persons</u>	<u>- deficiencies did</u> <u>not cause, relate</u> <u>to, or involve a</u> <u>violation of</u> <u>FINRA Rule</u> <u>2010 (Standards</u> <u>of Commercial</u> <u>Honor and</u> <u>Principles of</u> <u>Trade), FINRA</u> <u>Rule 3010</u> <u>(Supervision), or</u> <u>FINRA Rule</u> <u>3020</u> <u>(Supervisory</u> <u>Control System);</u> <u>and</u> <u>- prompt and</u> <u>satisfactory</u> <u>completion of</u> <u>remedial or</u> <u>corrective action</u> <u>within 15 days, or</u> <u>other deadline set</u> <u>by the Office,</u> <u>from receipt of</u> <u>written</u> <u>notification of the</u> <u>violations.</u>

<u>1</u> <u>2</u>	<u>69W-</u> <u>600.013(1)(h)1</u> <u>and (2)(h),</u> <u>FINRA Rule</u> <u>3270</u>	<u>Outside</u> <u>Business</u> <u>Activity</u>	- <u>deficiencies did</u> <u>not involve any</u> <u>false periodic</u> <u>compliance</u> <u>attestations</u> <u>regarding outside</u> <u>business</u> <u>activities;</u> - <u>deficiencies did</u> <u>not cause, relate</u> <u>to, or involve a</u> <u>violation of</u> <u>FINRA Rule</u> <u>2010 (Standards</u> <u>of Commercial</u> <u>Honor and</u> <u>Principles of</u> <u>Trade), FINRA</u> <u>Rule 3010</u> <u>(Supervision), or</u> <u>FINRA Rule</u> <u>3020</u> <u>(Supervisory</u> <u>Control System);</u> <u>and</u> - <u>prompt and</u> <u>satisfactory</u> <u>completion of</u> <u>remedial or</u> <u>corrective action</u> <u>within 15 days, or</u> <u>other deadline set</u> <u>by the Office,</u> <u>from receipt of</u> <u>written</u> <u>notification of the</u> <u>violations.</u>
<u>1</u> <u>3</u>	<u>69W-</u> <u>600.013(1)(h)1</u> <u>and (2)(h),</u> <u>FINRA Rule</u> <u>Series 4000</u>	<u>Financial and</u> <u>Operational</u> <u>Rules</u>	- <u>deficiencies did</u> <u>not cause, relate</u> <u>to, or involve a</u> <u>violation of</u> <u>FINRA Rule</u> <u>2010 (Standards</u> <u>of Commercial</u> <u>Honor and</u> <u>Principles of</u> <u>Trade), FINRA</u> <u>Rule 3010</u> <u>(Supervision), or</u> <u>FINRA Rule</u> <u>3020</u> <u>(Supervisory</u> <u>Control System);</u> <u>and</u> - <u>prompt and</u> <u>satisfactory</u> <u>completion of</u> <u>remedial or</u> <u>corrective action</u> <u>within 15 days, or</u> <u>other deadline set</u> <u>by the Office,</u> <u>from receipt of</u> <u>written</u> <u>notification of the</u> <u>violations.</u>

<u>1</u> <u>4</u>	<u>69W-</u> <u>600.013(1)(h)1</u> <u>and (2)(h),</u> <u>FINRA Rule</u> <u>Series 5000</u>	<u>Securities</u> <u>Offering and</u> <u>Trading</u> <u>Standards and</u> <u>Practices</u>	<u>- deficiencies did</u> <u>not cause, relate</u> <u>to, or involve a</u> <u>violation of</u> <u>FINRA Rule</u> <u>2010 (Standards</u> <u>of Commercial</u> <u>Honor and</u> <u>Principles of</u> <u>Trade), FINRA</u> <u>Rule 3010</u> <u>(Supervision), or</u> <u>FINRA Rule</u> <u>3020</u> <u>(Supervisory</u> <u>Control System);</u> <u>and</u> <u>- prompt and</u> <u>satisfactory</u> <u>completion of</u> <u>remedial or</u> <u>corrective action</u> <u>within 15 days, or</u> <u>other deadline set</u> <u>by the Office,</u> <u>from receipt of</u> <u>written</u> <u>notification of the</u> <u>violations.</u>
<u>1</u> <u>5</u>	<u>69W-</u> <u>600.013(1)(h)1</u> <u>and (2)(h),</u> <u>FINRA Rule</u> <u>Series 6000</u>	<u>Quotations and</u> <u>Transactions</u> <u>Reporting</u> <u>Facilities</u>	<u>- deficiencies did</u> <u>not cause, relate</u> <u>to, or involve a</u> <u>violation of</u> <u>FINRA Rule</u> <u>2010 (Standards</u> <u>of Commercial</u> <u>Honor and</u> <u>Principles of</u> <u>Trade), FINRA</u> <u>Rule 3010</u> <u>(Supervision), or</u> <u>FINRA Rule</u> <u>3020</u> <u>(Supervisory</u> <u>Control System);</u> <u>and</u> <u>- prompt and</u> <u>satisfactory</u> <u>completion of</u> <u>remedial or</u> <u>corrective action</u> <u>within 15 days, or</u> <u>other deadline set</u> <u>by the Office,</u> <u>from receipt of</u> <u>written</u> <u>notification of the</u> <u>violations.</u>

<u>1</u> <u>6</u>	<u>69W-600.013(1)(h)5</u> , MSRB Rules excluding G-17, G-18, G-19, G-20, G-25, G-30, G-44	<u>MSRB Rules</u>	- <u>substantial compliance, deficiencies discrete and not systematic or pervasive;</u> - <u>deficiencies did not cause, relate to or involve a violation MSRB Rule G-17 (Fair Dealing) or G-44 (Supervision); and</u> - <u>prompt and satisfactory completion of remedial or corrective action within 15 days, or other deadline set by the Office, from receipt of written notification of the violations.</u>
<u>1</u> <u>7</u>	<u>69W-600.013(1)(i)</u>	<u>Prospectuses</u>	- <u>substantial compliance, discrete violations and not systematic or pervasive; and</u> - <u>prompt and satisfactory completion of remedial or corrective action within 15 days, or other deadline set by the Office, from receipt of written notification of the violations.</u>

<u>1</u> <u>8</u>	<u>69W-600.013(1)(m)</u>	<u>Sale of Non-Exempt Securities for Issuer Non-Compliant with SEC Filing Requirements</u>	- <u>substantial compliance, discrete violations and not systematic or pervasive; and</u> - <u>prompt and satisfactory completion of remedial or corrective action within 15 days, or other deadline set by the Office, from receipt of written notification of the violations.</u>
<u>1</u> <u>9</u>	<u>69W-600.013(1)(o)</u>	<u>Senior Specific Certifications and Professional Designations</u>	- <u>substantial compliance, discrete violations and not systematic or pervasive; and</u> - <u>prompt implementation of remedial or corrective action within a reasonable time period to the satisfaction of the Office.</u>
<u>2</u> <u>0</u>	<u>69W-600.013(1)(p)</u>	<u>Failure to deliver a current Form CRS to any retail investor</u>	- <u>substantial compliance, discrete violations and not systematic or pervasive; and</u> - <u>prompt and satisfactory completion of remedial or corrective action within 15 days, or other deadline set by the Office, from receipt of written notification of the violations.</u>

<u>2</u> <u>1</u>	<u>69W-</u> <u>600.013(2)(g)</u>	<u>Failure to</u> <u>Provide Florida</u> <u>Guide to Small</u> <u>Business</u> <u>Investments</u> <u>(SCOR)</u>	<u>- substantial</u> <u>compliance,</u> <u>discrete</u> <u>violations and not</u> <u>systematic or</u> <u>pervasive; and</u> <u>- prompt and</u> <u>satisfactory</u> <u>completion of</u> <u>remedial or</u> <u>corrective action</u> <u>within 15 days, or</u> <u>other deadline set</u> <u>by the Office,</u> <u>from receipt of</u> <u>written</u> <u>notification of the</u> <u>violations.</u>
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<u>2</u> <u>2</u>	<u>69W-</u> <u>600.014(1) and</u> <u>(6)(a)</u>	<u>Books and</u> <u>Records</u> <u>(Dealer)</u>	<u>- substantial</u> <u>compliance with</u> <u>requirements (e.g.</u> <u>all categories of</u> <u>records</u> <u>maintained or</u> <u>produced to the</u> <u>Office but some</u> <u>missing or</u> <u>incomplete</u> <u>records);</u> <u>- deficiencies do</u> <u>not include false</u> <u>entry in books</u> <u>and records,</u> <u>forged signature</u> <u>or other similar</u> <u>intentional</u> <u>wrongful</u> <u>conduct;</u> <u>- deficiencies do</u> <u>not cause, relate</u> <u>to or involve a</u> <u>violation of</u> <u>FINRA Rule</u> <u>2010 (Standards</u> <u>of Commercial</u> <u>Honor and</u> <u>Principles of</u> <u>Trade), FINRA</u> <u>Rule 3010</u> <u>(Supervision), or</u> <u>FINRA Rule</u> <u>3020</u> <u>(Supervisory</u> <u>Control System);</u> <u>and</u> <u>- prompt and</u> <u>satisfactory</u> <u>completion of</u> <u>remedial or</u> <u>corrective action</u> <u>within 15 days, or</u> <u>other deadline set</u> <u>by the Office,</u> <u>from receipt of</u> <u>written</u> <u>notification of the</u> <u>violations.</u>
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<u>2</u> <u>3</u>	<u>69W-</u> <u>600.014(2)(a)</u> <u>through (e) and</u> <u>(6)(b)(e)</u>	<u>Books and</u> <u>Records</u> <u>(Investment</u> <u>Adviser)</u>	- <u>substantial</u> <u>compliance with</u> <u>requirements (e.g.</u> <u>all categories of</u> <u>records</u> <u>maintained or</u> <u>produced to the</u> <u>Office but some</u> <u>missing or</u> <u>incomplete</u> <u>records);</u> - <u>discrete</u> <u>violations and not</u> <u>systematic or</u> <u>pervasive; and</u> - <u>prompt and</u> <u>satisfactory</u> <u>completion of</u> <u>remedial or</u> <u>corrective action</u> <u>within 15 days, or</u> <u>other deadline set</u> <u>by the Office,</u> <u>from receipt of</u> <u>written</u> <u>notification of the</u> <u>violations.</u>
<u>2</u> <u>4</u>	<u>69W-</u> <u>600.0131(1)(a)</u> <u>, (h), (i), and</u> <u>(p) through (w)</u>	<u>Prohibited</u> <u>Business</u> <u>Practices</u> <u>Investment</u> <u>Advisors and</u> <u>Associated</u> <u>Persons</u>	- <u>substantial</u> <u>compliance,</u> <u>discrete</u> <u>violations and not</u> <u>systematic or</u> <u>pervasive; and</u> - <u>prompt and</u> <u>satisfactory</u> <u>completion of</u> <u>remedial or</u> <u>corrective action</u> <u>within 15 days, or</u> <u>other deadline set</u> <u>by the Office,</u> <u>from receipt of</u> <u>written</u> <u>notification of the</u> <u>violations.</u>

<u>2</u> <u>5</u>	<u>69W-</u> <u>600.0132(2)(a)</u> <u>through (i)</u>	<u>Custody</u> <u>Requirements</u> <u>for Investment</u> <u>Advisers</u>	- <u>substantial</u> <u>compliance,</u> <u>discrete</u> <u>violations and not</u> <u>systematic or</u> <u>pervasive; and</u> - <u>prompt and</u> <u>satisfactory</u> <u>completion of</u> <u>remedial or</u> <u>corrective action</u> <u>within 15 days, or</u> <u>other deadline set</u> <u>by the Office,</u> <u>from receipt of</u> <u>written</u> <u>notification of the</u> <u>violations.</u>
<u>2</u> <u>6</u>	<u>69W-</u> <u>600.0161(1)(a)</u> <u>through (b)</u>	<u>Net Capital and</u> <u>Financial</u> <u>Reporting</u> <u>Requirements</u> <u>for Investment</u> <u>Advisers</u>	- <u>maintained net</u> <u>capital</u> <u>requirements for</u> <u>9 months in</u> <u>rolling 12-month</u> <u>period prior to</u> <u>receiving Net</u> <u>Capital</u> <u>Deficiency</u> <u>Notice.</u>

<u>2</u> <u>7</u>	<u>69W-</u> <u>600.0161(2)(a)</u> <u>(b), and (d)</u>	<u>Net Capital and</u> <u>Financial</u> <u>Reporting</u> <u>Requirements</u> <u>for Investment</u> <u>Advisers</u>	<u>- delinquent</u> <u>financial</u> <u>statements filed</u> <u>within 90 days of</u> <u>due date or within</u> <u>15 days of receipt</u> <u>of a Financial</u> <u>Statement</u> <u>Delinquency</u> <u>Notice;</u> <u>- corrected</u> <u>financial</u> <u>statements filed</u> <u>within 15 days of</u> <u>receipt of a</u> <u>Financial</u> <u>Statement</u> <u>Deficiency</u> <u>Notice or other</u> <u>written notice</u> <u>identifying</u> <u>financial</u> <u>statement</u> <u>deficiencies.</u>
<u>2</u> <u>8</u>	<u>69W-</u> <u>600.0133(1)</u>	<u>Use of Senior</u> <u>Specific</u> <u>Certifications or</u> <u>Senior Specific</u> <u>Professional</u> <u>Designations by</u> <u>Associated</u> <u>Persons and</u> <u>Investment</u> <u>Advisers</u>	<u>- discrete</u> <u>violations and not</u> <u>systematic or</u> <u>pervasive; and</u> <u>- prompt and</u> <u>satisfactory</u> <u>completion of</u> <u>remedial or</u> <u>corrective action</u> <u>within 15 days, or</u> <u>other deadline set</u> <u>by the Office,</u> <u>from receipt of</u> <u>written</u> <u>notification of the</u> <u>violations.</u>

(b) In computing any period of time set out in the table in paragraph (6)(a) of this rule, the day of the act from which the period of time begins to run shall not be included. The last day of the period shall be included unless it is a Saturday, Sunday, or legal holiday, in which event the period shall run until the end of the next day which is not a Saturday, Sunday, or legal holiday designated in Section 110.117, F.S. Five days shall be added to the time limits when a notice described in the table in

paragraph (6)(a) of this rule has been issued by regular U.S. mail. No additional time shall be added if a notice described in the table above was issued by electronic mail.

(7)(a)(6)(a) The fines imposed on a natural person for violation of a ground for disciplinary action are up to \$5,000 for a level “A” fine, \$5,001 to \$10,000 for a level “B” fine, \$10,001 to \$15,000 for a level “C” fine and \$15,001 to \$20,000 for a level “D” fine.

(b) No change.

(c) A Notice of Noncompliance shall be a statement issued by the Office as described in Section 120.695, F.S. For the purpose of this rule, a Notice of Noncompliance is not considered an occurrence of a violation.

(c)(d) No change.

(7) through (8) renumbered (8) through (9) No change.

Rulemaking Authority 517.1611(1) FS. Law Implemented 517.111, 517.1202, 517.121, 517.161, 517.1611(1), 517.191(4), (9), (10) FS. History—New 11-22-10, Amended 11-14-13, 5-6-15, 11-15-16, 12-10-19, 1-18-21, 3-21-24, 10-1-24, 9-16-25.

Office of Financial Regulation Disciplinary Guidelines for Chapter 517, Florida Statutes (F.S.) and Division 69W, Florida Administrative Code (F.A.C.) (effective 12/2026), is being substantially reworded. See

<https://www.flrules.org/gateway/reference.asp?NO=Ref-18414> for present text.

NAME OF PERSON ORIGINATING PROPOSED RULE:
Kerry Finegan, Director, Division of Securities

NAME OF AGENCY HEAD WHO APPROVED THE
PROPOSED RULE: Financial Services Commission

DATE PROPOSED RULE WAS APPROVED BY AGENCY
HEAD: September 29, 2026

DATE NOTICE OF RULE DEVELOPMENT WAS
PUBLISHED IN FAR: September 18, 2026

Section III Notice of Changes, Corrections and Withdrawals

NONE

Section IV Emergency Rules

NOTE: The full text of Emergency Rules that are currently in effect can be viewed by going to <https://flrules.org/Notice/emergencyRules.asp>.

Section V

Petitions and Dispositions Regarding Rule Variance or Waiver

DEPARTMENT OF BUSINESS AND PROFESSIONAL REGULATION

Division of Hotels and Restaurants

RULE NO.: RULE TITLE:

61C-1.004 General Sanitation and Safety Requirements

NOTICE OF PETITION FOR VARIANCE OR WAIVER
NOTICE IS HEREBY GIVEN that on October 12, 2026, the Florida Department of Business and Professional Regulation, Division of Hotels and Restaurants, received a petition for An Emergency Variance from LF & CO MIM LLC located in Doral..

Paragraph 61C-1.004(1)(a), Florida Administrative Code and Paragraph 5-202.11(A), 2017 FDA Food Code. The above referenced F.A.C. addresses the requirement that each establishment have an approved plumbing system installed to transport potable water and wastewater. They are requesting to utilize holding tanks to provide potable water and to collect wastewater at the handwash sink and 3 compartment sink.

The Division of Hotels and Restaurants will accept comments concerning the Petition for 5 days from the date of publication of this notice. To be considered, comments must be received before 5:00 p.m.

A copy of the Petition may be obtained by contacting: Daisy.Aleman@myfloridalicense.com, Division of Hotels and Restaurants, 2601 Blair Stone Road, Tallahassee, Florida 32399-1011.

DEPARTMENT OF HEALTH

Board of Nursing

RULE NO.: RULE TITLE:

64B9-3.002 Qualifications for Examination

NOTICE OF PETITION FOR VARIANCE OR WAIVER
NOTICE IS HEREBY GIVEN that on September 25, 2026, the Board of Nursing, received a petition for a variance or waiver from Tanysha Facenda Velez.

Petitioner is requesting a variance or waiver from Rule 64B9-3.002, F.A.C., which states in part, for an applicant writing the examination for practical nurses on the basis of practical nursing education equivalency, a completed Practical Nurse Equivalence (PNEQ) Application Letter or an official certified transcript which sets forth graduation from an approved professional program is required.

A copy of the Petition may be obtained by contacting: Laura Jensen, Executive Director, Board of Nursing, 4052 Bald

Cypress Way, Bin #C02, Tallahassee, Florida 32399-3252; MQA.Nursing@flhealth.gov. Comments on this petition should be filed with the Board of Nursing within 14 days of publication of this notice.

DEPARTMENT OF HEALTH

Board of Nursing

RULE NO.: RULE TITLE:

64B9-3.002 Qualifications for Examination

NOTICE OF PETITION FOR VARIANCE OR WAIVER

NOTICE IS HEREBY GIVEN that on October 08, 2026, the Board of Nursing, received a petition for a variance or waiver from Tierra Timmons.

Petitioner is requesting a variance or waiver from Rule 64B9-3.002, F.A.C., which states in part, for an applicant writing the examination for practical nurses on the basis of practical nursing education equivalency, a completed Practical Nurse Equivalence (PNEQ) Application Letter or an official certified transcript which sets forth graduation from an approved professional program is required.

A copy of the Petition may be obtained by contacting:

Laura Jensen, Executive Director, Board of Nursing, 4052 Bald Cypress Way, Bin #C02, Tallahassee, Florida 32399-3252; MQA.Nursing@flhealth.gov. Comments on this petition should be filed with the Board of Nursing within 14 days of publication of this notice.

DEPARTMENT OF FINANCIAL SERVICES

Securities

NOTICE OF PETITION FOR VARIANCE OR WAIVER

NOTICE IS HEREBY GIVEN that on September 23, 2026, the Office of Financial Regulation, received a petition for a Waiver from subsection 69W-600.0024(6), Florida Administrative Code from Paula Echeverry.

The petition seeks a Waiver of subsection 69W-600.0024(6) which requires an associated person of an investment adviser or federal covered adviser to provide the Office with one of the following:

1. Proof of passing, within two years of the date of application for registration, the Uniform Investment Adviser Law Examination (Series 65); or 2. Proof of passing, within two years of the date of application for registration, the General Securities Representative Examination (Series 7), the Uniform Combined State Law Examination (Series 66), and proof of passing within four years of the date of application for registration, the Securities Industry Essentials (SIE) Examination. Comments on this petition should be filed with the Agency Clerk, Office of Financial Regulation, P.O. Box 8050, Tallahassee, Florida 32314-8050, (850)410-9889, Agency.Clerk@flofr.gov within 14 days of publication of this notice.

A copy of the Petition 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.gov.

Section VI

Notice of Meetings, Workshops and Public Hearings

DEPARTMENT OF LEGAL AFFAIRS

The Statewide Council on Human Trafficking announces a public meeting to which all persons are invited.

DATE AND TIME: Monday, October 19, 2026, 1:00 p.m. until conclusion – CANCELED. Rescheduled to Wednesday, October 28, 2026, 1:00 p.m. until conclusion.

PLACE: +1(872)240-3212; Access Code: 779-325-373; and <https://meet.goto.com/779325373>

GENERAL SUBJECT MATTER TO BE CONSIDERED: Council Business

A copy of the agenda may be obtained by contacting: Lynn Guyton at 3507 E. Frontage Road, Suite 350, Tampa, FL 33607 at Lynn.Guyton@myfloridalegal.com; (813)287-7960 or by accessing the board's website at: <https://www.myfloridalegal.com/human-trafficking/council/meetings>

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: the Office of Attorney General James Uthmeier PL-01, The Capitol, Tallahassee, FL 32399-1050 or 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).

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: Lynn Guyton at Lynn.Guyton@myfloridalegal.com or by telephone at (813)287-7960.

DEPARTMENT OF EDUCATION

Division of Blind Services

The Division of Blind Services/Bureau of Business Enterprise announces a public meeting to which all persons are invited.

DATE AND TIME: October 19, 2026, 3:00 p.m.

PLACE: Via Microsoft Teams meeting

Join:

<https://teams.microsoft.com/meet/241261450531993?p=5au8WW1E8BIPQkXFjH>

Meeting ID: 241 261 450 531 993

Passcode: rn7Bb9yk

Dial in by phone

+1(850)583-5063, 67213242# United States, Tallahassee

Phone conference ID: 672 132 42#

GENERAL SUBJECT MATTER TO BE CONSIDERED: To discuss the 2027 budget.

A copy of the agenda may be obtained by contacting: Mary Ellen Harding

maryellen.harding@dbf.fldoe.org

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: Mary Ellen Harding, maryellen.harding@dbf.fldoe.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: Mary Ellen Harding, maryellen.harding@dbf.fldoe.org

DEPARTMENT OF EDUCATION

Education Practices Commission

The Education Practices Commission announces a public meeting to which all persons are invited.

DATES AND TIMES: A New Member Training will begin at 9:00 a.m. or as soon thereafter as can be heard on October 28, 2026.

A Teacher Hearing Panel will begin at 1:30 p.m. or as soon thereafter as can be heard on October 28, 2026.

A Teacher Hearing Panel will begin at 9:00 a.m. or as soon thereafter as can be heard on October 29, 2026.

A Teacher Hearing Panel will begin at 1:30 p.m. or as soon thereafter as can be heard on October 29, 2026.

A Teacher Hearing Panel will begin at 8:00 a.m. or as soon thereafter as can be heard on October 30, 2026.

PLACE: Embassy Suites Tampa Airport/Westshore, 555 North Westshore Boulevard, Tampa, Florida 33609, (813) 875-1555

GENERAL SUBJECT MATTER TO BE CONSIDERED: The Hearing Panels of the Education Practices Commission will consider final agency action in matters dealing with the disciplining of certified educators. The new members training is for newly appointed members of the commission.

A copy of the agenda may be obtained by contacting: Lisa Forbess at (850)245-0455

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: Lisa Forbess at (850)245-0455. 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: Lisa Forbess at (850)245-0455

DEPARTMENT OF LAW ENFORCEMENT

The Medical Examiners Commission announces a public meeting to which all persons are invited.

DATE AND TIME: Tuesday, October 27, 2026, 10:00a.m.

PLACE: The Equestrian Manor, 8050 NW 17th Place, Ocala, Florida 34482

GENERAL SUBJECT MATTER TO BE CONSIDERED: Medical Examiners Commission Meeting issues. If a person decides to appeal any decision made by the Commission with respect to any matter considered at this meeting, such person is responsible for ensuring that a verbatim record of the proceedings is made, which record includes the testimony and evidence upon which the appeal is to be based.

A copy of the agenda may be obtained by contacting: Megan Neel at meganneel@fdle.state.fl.us

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: Megan Neel at meganneel@fdle.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

South Florida Water Management District

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

DATE AND TIME: Friday, October 23, 2026, 11:00 a.m., Big Cypress Basin Board Meeting

PLACE: Collier County Board of County Commissioners Chambers, 3299 Tamiami Trail East, 3rd Floor, Naples, FL 34112

Members of the public may participate and provide public comment in person or via Zoom, a media technology free for the public to use.

GENERAL SUBJECT MATTER TO BE CONSIDERED: This is a public meeting of the Big Cypress Basin Board to discuss and consider activities impacting the Big Cypress Basin of the South Florida Water Management District. The public and stakeholders will have an opportunity to view and comment on the meeting by attending in person or utilizing the following link: <https://sfwmd.link/3XtYUzX>. The link will go live at approximately 11:00 a.m. on October 23, 2026.

The Big Cypress Basin Board may take official action at the meeting on any item appearing on the agenda and on any item that is added to the agenda as a result of a change to the agenda approved by the presiding officer of the meeting pursuant to Section 120.525, Florida Statutes.

A copy of the agenda may be obtained by contacting: Celia Seifert at cseifert@sfwmd.gov. The agenda will be posted to the District's website www.SFWMD.gov/meetings, seven days prior to the meeting.

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 seven days before the workshop/meeting by contacting: Molly Brown, District Clerk, at mobrown@sfwmd.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).

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: Celia Seifert at cseifert@sfwmd.gov.

DEPARTMENT OF BUSINESS AND PROFESSIONAL REGULATION

Florida Mobile Home Relocation Corporation

The Florida Mobile Home Relocation Corporation announces a public meeting to which all persons are invited.

DATE AND TIME: November 10, 2026, 9:00 a.m.

PLACE: Via-Zoom or Telephone. To attend the meeting by telephone toll-free, please call (888)475-4499 US or (855)703-8985 Canada and enter meeting ID (429)115-1196 and pass code 412913 when prompted. Or to join the meeting via-Zoom please access the following link:

<https://zoom.us/j/4291151196?pwd=YlJNUWd3VjhwaX0VERXdzhjM3NGQT09>

GENERAL SUBJECT MATTER TO BE CONSIDERED: The Board will address official business of the Florida Mobile

Home Relocation Corporation which will include, among other matters, a review of mobile homeowner applications for compensation and/or abandonment due to a change in use of the land comprising of the mobile home park, and such other businesses as may come before the Board. A schedule of future meetings will be determined.

A copy of the agenda may be obtained by contacting: Fran Gilbert at (888)320-0322 or fran@fmhrc.org.

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: Fran Gilbert at (888)320-0322 or fran@fmhrc.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: Fran Gilbert at (888)320-0322 or fran@fmhrc.org.

DEPARTMENT OF HEALTH

Board of Osteopathic Medicine

The Florida Board of Osteopathic Medicine - Probable Cause Panel announces a public meeting to which all persons are invited.

DATE AND TIME: Monday, October 26, 2026, 11:00 a.m., ET

PLACE: You may join the meeting from your computer, tablet, or smartphone through the following link: <https://meet.goto.com/594019581>.

You may also join the meeting using your phone at the following number(s):

United States: +1(571)317-3116

Access code: 594-019-581

GENERAL SUBJECT MATTER TO BE CONSIDERED: The panel will conduct a meeting related to public disciplinary cases.

A copy of the agenda may be obtained by contacting: <https://floridasosteopathicmedicine.gov/meeting-information/>

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: Tamecia Blackman at (850)558-9893 or emailing at Tamecia.Blackman@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).

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: Tamecia Blackman at (850)558-9893 or emailing at Tamecia.Blackman@flhealth.gov.

FISH AND WILDLIFE CONSERVATION COMMISSION

The FL Fish and Wildlife Conservation Commission - NOTICE OF CANCELLATION announces a public meeting to which all persons are invited.

DATE AND TIME: Thursday, October 15, 2026, 9:00 a.m. - 4:00 p.m.

PLACE: World Golf Village Renaissance St. Augustine Resort (500 South Legacy Trail, St. Augustine, FL 320920)

GENERAL SUBJECT MATTER TO BE CONSIDERED: This is a meeting of the Boating Advisory Council to review and discuss boating-related topics and for the Council to make recommendations to the FWC Commission and the Department of Economic Opportunity, if needed, in accordance with section 327.803, Florida Statutes.

A copy of the agenda may be obtained by contacting: FWC, Division of Law Enforcement, Boating and Waterways Section, 620 South Meridian Street, Tallahassee, Florida 32399-1600, or by calling Ginny Worley, (850)488-5600.

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: ADA Coordinator, (850)488-6411. 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: For more information, you may contact Ginny Worley, 620 S Meridian Street, Tallahassee, FL 32399 or at (850)488-5600.

FISH AND WILDLIFE CONSERVATION COMMISSION

The FL Fish and Wildlife Conservation Commission announces a public meeting to which all persons are invited.

DATE AND TIME: Thursday, October 15, 2026; 9:00 a.m. - 4:00 p.m.

PLACE: Canceled

GENERAL SUBJECT MATTER TO BE CONSIDERED: This notice will replace notice #31422585. This meeting has been canceled.

A copy of the agenda may be obtained by contacting: The meeting has been canceled; no agenda is available.

DEPARTMENT OF COMMERCE

Division of Workforce Services

The Reemployment Assistance Appeals Commission announces a public meeting to which all persons are invited.

DATE AND TIME: October 21, 2026, 9:30 a.m.

PLACE: Reemployment Assistance Appeals Commission, 1211 Governors Square Boulevard, Suite 300, Tallahassee, Florida 32301. Attendance by telephone is also available by calling (850)988-5144 and entering phone conference ID: 282 335 254#.

GENERAL SUBJECT MATTER TO BE CONSIDERED: Disposition of cases pending before the Reemployment Assistance Appeals Commission and Commission business. No public testimony or comment will be taken.

A copy of the agenda may be obtained by contacting: the office of the Reemployment Assistance Appeals Commission at RAAC.Inquiries@commerce.fl.gov or by visiting <https://floridajobs.org/workforce-resources/reemployment-assistance-appeals-commission/about-the-reemployment-assistance-appeals-commission/raac-notice>.

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 24 hours before the workshop/meeting by contacting: the Commission Clerk at (850)692-0180. 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 Commission Clerk at (850)692-0180.

QUINCY-GADSDEN AIRPORT AUTHORITY

The Quincy-Gadsden Airport Authority announces a public meeting to which all persons are invited.

DATE AND TIME: Monday, October 19, 2026, 5:30 p.m.

PLACE: Quincy Municipal Airport Terminal Conference Room, 1300 Airport Drive, Quincy, FL

GENERAL SUBJECT MATTER TO BE CONSIDERED: To hold the regular monthly meeting of the Quincy-Gadsden Airport Authority.

A copy of the agenda may be obtained by contacting: Michael Reithmiller, GAAA, PO Box 1905, Quincy, FL 32353, quincyairport@tds.net, (850)643-7752

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.

Section VII

Notice of Petitions and Dispositions
Regarding Declaratory StatementsDEPARTMENT OF BUSINESS AND PROFESSIONAL
REGULATION

Construction Industry Licensing Board

NOTICE OF PETITION FOR DECLARATORY
STATEMENT

NOTICE IS HEREBY GIVEN that the Construction Industry Licensing Board has received the petition for declaratory statement from Jonathon Tikkanen, Petitioner, filed on October 12, 2026. The petition seeks the agency's opinion as to the applicability of Section 489.103(3), 489.111, 489.111(2)(c), and 489.1131, Florida Statutes, as it applies to the petitioner.

Petitioner requests that the Board determine, "Whether Petitioner's documented plumbing-related employment and supervisory experience with the City of St. Petersburg Water Resources Department constitutes qualifying experience in the plumbing category for purposes of Petitioner's application for a Florida plumbing contractor license/registration, notwithstanding the governmental employee exemption contained in Section 489.103(3), Florida Statutes, when Petitioner was performing plumbing-related work within the scope of municipal employment, as it pertains to the statutes." Except for good cause shown, motions for leave to intervene must be filed within 21 days after publication of this notice.

A copy of the Petition for Declaratory Statement may be obtained by contacting: Amanda Ackermann, Executive Director, Construction Industry Licensing Board, 2601 Blair Stone Road, Tallahassee, Florida 32399-1039 or telephone: (850)487-1395, or by electronic mail to Amanda.Ackermann@myfloridalicense.com

DEPARTMENT OF HEALTH

Board of Nursing

NOTICE OF PETITION FOR DECLARATORY
STATEMENT

NOTICE IS HEREBY GIVEN that Board of Nursing has received the petition for declaratory statement from Christina M. Hite filed on October 05, 2026. The petition seeks the agency's opinion as to the applicability of Chapter 464.003, F.S. as it applies to the petitioner.

The Petitioner asks the Board to clarify if the petitioner would be acting within the scope of professional practice of a Florida-licensed Registered Nurse to administer picosecond laser treatment solely for the removal or lightening of tattoo and permanent makeup and what supervision, if any, would be required. Except for good cause shown, motions for leave to

intervene 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: Laura Jensen, Executive Director, Board of Nursing, 4052 Bald Cypress Way, Bin #C02, Tallahassee, Florida 32399, MQA.Nursing@flhealth.gov, or by telephone at (850)245-4125.

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

ELKINS CONSTRUCTION, LLC.

Snyder Readiness Center HVAC Replacement

Elkins Construction LLC (CGC1523777) has contracted with the State of Florida Department of Military Affairs as Construction Manager on the Snyder Readiness Center HVAC Replacement project. We are currently soliciting subcontractor bid proposals for the following trade packages: 23 HVAC, 26 ELECTRICAL. Prior to submitting a bid proposal,

subcontractors are required to review all bid related information, including plans, specifications, geotechnical report, bid scopes of work, Elkins Construction subcontract agreement, schedule, and complete subcontractor's pre-qualification ("SCORE"). SCORE registration information can be found here: <https://scoresystem.com> SCORE must be fully complete, including financial information, one week prior to the bid due date. Any proposed comments to Elkins Construction subcontract agreement template must be submitted with subcontractor's bid. Any incomplete submissions of the requirements listed above may be subject to bid rejection. Further, Elkins Construction, LLC. reserves the right to waive any irregularities and/or reject any and all bid proposals. Instructions: Please contact Crandall Maines at Elkins Construction, LLC for bid document access and bidding updates at (904)870-0397. Bid Date: Sealed Bids are due from pre-qualified subcontractors on Thursday, October 29th, 2026 at 4:00 p.m., EST at the office of Elkins Construction, LLC: 6104 S. Gazebo Park Place, Jacksonville, FL 32257. Bids will be opened on Tuesday, November 2nd, 2026 at 4:00 p.m., EST at the same location.

ELKINS CONSTRUCTION, LLC.

KDA/KDC North Range Upgrade

Elkins Construction LLC (CGC1523777) has contracted with the State of Florida Department of Military Affairs as Construction Manager on the new KDA/KDC North Range Upgrade, Camp Blanding Joint Training Center project. We are currently soliciting subcontractor bid proposals for the following trade packages:

01 GENERAL REQUIREMENTS, 03 CONCRETE, 04 MASONRY, 05 METALS, 06 CASEWORK, 07 ROOFING, WATERPROOFING & SEALANTS, 08 OPENINGS & DOORS, FRAMES & HARDWARE, 08B COILING DOORS, 08C EXTERIOR GLASS & GLAZING, 08D INTERIOR GLASS & GLAZING, 09A DRYWALL & FRAMING, 09B ACOUSTICAL CEILINGS, 09C FLOORING, 09E PAINTING, 09F CONCRETE COATING, 10A SPECIALTIES, 22 PLUMBING, 23 HVAC, 25 INTEGRATED AUTOMATION 26 ELECTRICAL, 31 EARTHWORK, 33 UTILITIES.

Prior to submitting a bid proposal, subcontractors are required to review all bid related information, including plans, specifications, geotechnical report, bid scopes of work, Elkins Construction subcontract agreement, schedule, and complete subcontractor's pre-qualification ("SCORE"). SCORE registration information can be found here: <https://scoresystem.com>

SCORE must be fully complete, including financial information, one week prior to the bid due date. Any proposed comments to Elkins Construction subcontract agreement

template must be submitted with subcontractor's bid. Any incomplete submissions of the requirements listed above may be subject to bid rejection. Further, Elkins Construction, LLC, reserves the right to waive any irregularities and/or reject any and all bid proposals.

Instructions: Please contact Crandall Maines at Elkins Construction, LLC for bid document access and bidding updates at (904)870-0397.

Bid Date: Sealed Bids are due from pre-qualified subcontractors on Thursday, November 5th, 2026 at 4:00 p.m., EST at the office of Elkins Construction, LLC: 6104 S. Gazebo Park Place, Jacksonville, FL 32257. Bids will be opened on Thursday, November 12th, 2026 at 4:00 p.m., EST at the same location.

Section XII Miscellaneous

DEPARTMENT OF STATE

Index of Administrative Rules Filed with the Secretary of State Pursuant to subparagraphs 120.55(1)(b)7. – 8., F.S., the below list of rules were filed in the Office of the Secretary of State between 3:00 p.m., Tuesday, October 6, 2026, and 3:00 p.m., Monday, October 12, 2026.

Rule No.	File Date	Effective Date
1A-39.001	10/8/2026	10/28/2026
6A-1.0957	10/9/2026	10/29/2026
6A-10.0246	10/9/2026	10/29/2026
59G-4.002	10/6/2026	10/26/2026
60LER26-2	10/8/2026	10/8/2026
60LER26-3	10/8/2026	10/8/2026
61-20.011	10/7/2026	10/27/2026
64B5-16.001	10/6/2026	10/26/2026
64B5-16.006	10/6/2026	10/26/2026
64B5-16.0051	10/6/2026	10/26/2026
64B5-16.0061	10/6/2026	10/26/2026
68D-24.003	10/8/2026	10/28/2026
LIST OF RULES AWAITING LEGISLATIVE APPROVAL PURSUANT TO SECTIONS 120.541(3), 373.139(7) AND/OR 373.1391(6), FLORIDA STATUTES		
Rule No.	File Date	Effective Date
14-10.0043	4/11/2025	**/**/****
65C-9.004	3/31/2022	**/**/****

DEPARTMENT OF EDUCATION

State Board of Education

NOTICE OF PUBLICATION OF 2026 AGENCY REGULATORY PLAN

that on October 12, 2026, the Department of Education published its 2026 Regulatory Plan in accordance with Section 120.74, F.S. The Regulatory Plan is available on the Department's website at: <http://www.fldoe.org/policy/state-board-of-edu/rule-review.shtml>

Section XIII Index to Rules Filed During Preceding Week

INDEX TO RULES FILED BETWEEN OCTOBER 5, 2026, AND OCTOBER 9, 2026

Rule No.	File Date	Effective Date	Proposed Vol./No.	Amended Vol./No.
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DEPARTMENT OF STATE

Division of Historical Resources

1A-39.001	10/8/26	10/28/26	52/160	52/184
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DEPARTMENT OF EDUCATION

State Board of Education

6A-1.0957	10/9/26	10/29/26	52/166	52/182
6A-10.0246	10/9/26	10/29/26	52/163	52/182

DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES

Division of Driver Licenses

15A-6.001	10/5/26	10/25/26	52/134
15A-7.002	10/5/26	10/25/26	52/134
15A-9.002	10/5/26	10/25/26	52/134
15A-12.001	10/5/26	10/25/26	52/134

Division of Florida Highway Patrol

15B-1.002	10/5/26	10/25/26	52/134
15B-1.003	10/5/26	10/25/26	52/134
15B-1.004	10/5/26	10/25/26	52/134
15B-1.005	10/5/26	10/25/26	52/134
15B-10.001	10/5/26	10/25/26	52/134
15B-10.002	10/5/26	10/25/26	52/134
15B-12.011	10/5/26	10/25/26	52/134

Division of Motor Vehicles

15C-14.002	10/5/26	10/25/26	52/134
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DEPARTMENT OF CORRECTIONS

33-102.101	10/7/26	reviewed
33-102.202	10/7/26	reviewed
33-103.001	10/7/26	reviewed
33-103.003	10/7/26	reviewed
33-103.004	10/7/26	reviewed
33-103.008	10/7/26	reviewed
33-103.009	10/7/26	reviewed
33-103.010	10/7/26	reviewed
33-103.012	10/7/26	reviewed
33-103.016	10/7/26	reviewed
33-103.017	10/7/26	reviewed
33-103.018	10/7/26	reviewed
33-104.101	10/8/26	reviewed
33-104.201	10/8/26	reviewed
33-104.202	10/8/26	reviewed
33-104.203	10/8/26	reviewed
33-104.204	10/8/26	reviewed
33-203.601	10/8/26	reviewed
33-208.002	10/8/26	reviewed
33-210.202	10/8/26	reviewed
33-601.210	10/8/26	reviewed
33-601.237	10/8/26	reviewed
33-601.602	10/8/26	reviewed
33-601.7115	10/8/26	reviewed
33-601.717	10/8/26	reviewed
33-601.726	10/8/26	reviewed
33-601.728	10/8/26	reviewed
33-602.204	10/8/26	reviewed
33-602.205	10/8/26	reviewed
33-602.210	10/8/26	reviewed
33-602.603	10/8/26	reviewed

WATER MANAGEMENT DISTRICTS**Northwest Florida Water Management District**

40A-2.021	10/7/26	reviewed
40A-2.041	10/7/26	reviewed
40A-2.051	10/7/26	reviewed
40A-2.201	10/7/26	reviewed
40A-2.351	10/7/26	reviewed
40A-2.361	10/7/26	reviewed
40A-2.381	10/7/26	reviewed
40A-2.501	10/7/26	reviewed
40A-2.511	10/7/26	reviewed
40A-2.801	10/7/26	reviewed
40A-2.802	10/7/26	reviewed
40A-2.901	10/7/26	reviewed

40A-7.001	10/7/26	reviewed
40A-7.002	10/7/26	reviewed
40A-7.003	10/7/26	reviewed
40A-7.004	10/7/26	reviewed
40A-7.005	10/7/26	reviewed

AGENCY FOR HEALTH CARE ADMINISTRATION**Medicaid**

59G-4.002	10/6/26	10/26/26	52/169	52/189
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DEPARTMENT OF MANAGEMENT SERVICES**Personnel Management System**

60LER26-2	10/8/26	10/8/26	52/198
60LER26-3	10/8/26	10/8/26	52/198

DEPARTMENT OF BUSINESS AND PROFESSIONAL REGULATION

61-20.011	10/7/26	10/27/26	52/159
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DEPARTMENT OF ENVIRONMENTAL PROTECTION**Office of the Secretary**

62S-6.012	10/5/26	reviewed
62S-6.022	10/5/26	reviewed
62S-6.032	10/5/26	reviewed
62S-6.033	10/5/26	reviewed
62S-6.034	10/5/26	reviewed

DEPARTMENT OF HEALTH**Board of Dentistry**

64B5-16.001	10/6/26	10/26/26	52/131	
64B5-16.0051	10/6/26	10/26/26	52/172	52/177
64B5-16.006	10/6/26	10/26/26	52/131	
64B5-16.0061	10/6/26	10/26/26	52/131	52/166

Board of Pharmacy

64B16-26.304	10/5/26	10/25/26	52/141
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FISH AND WILDLIFE CONSERVATION COMMISSION**Vessel Registration and Boating Safety**

68D-24.003	10/8/26	10/28/26	52/174
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LIST OF RULES AWAITING LEGISLATIVE REVIEW/APPROVAL PURSUANT TO SECTIONS 120.541(3), 373.139(7) AND/OR 373.1391(6), FLORIDA STATUTES

DEPARTMENT OF TRANSPORTATION

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DEPARTMENT OF CHILDREN AND FAMILIES

Family Safety and Preservation Program

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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.
