

## FLORIDA OFFICE of FINANCIAL REGULATION



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Securities

## Welcome to the Division of Securities

### What We Do

The Division of Securities regulates the sale of securities in, to or from Florida by firms (securities dealers, issuer dealers and investment advisers), branch offices and individuals affiliated with these firms to determine compliance with Florida law.

**Canadian Dealers:** [Associated Person](#), [Branch Office](#), [Firm](#)

**Dealer-FINRA Member:** [Associated Person](#), [Branch Office](#), [Firm](#)

**Dealer-Non FINRA Member:** [Associated Person](#), [Branch Office](#), [Firm](#)

#### Investment Advisers:

Federal Covered Advisers: [Associated Person](#), [Branch Office](#), [Firm](#)

State Registered Advisers: [Associated Person](#), [Branch Office](#), [Firm](#)  
[Announcement for state-registered IA Branch Offices](#)  
[Step by Step Instructions for the Division of Securities Website Filings](#)  
[Florida - Guide for Investment Advisers](#)

**Issuer Dealers:** [Associated Person](#), [Branch Office](#), [Firm](#)

**Securities Offerings:** [Intra state or Merit Review Registration](#), [Notification Registration](#)

**Bureau of Registration:** processes and evaluates applications for firms and individuals seeking registration to conduct business in Florida.

**Bureau of Enforcement:** conducts examinations of registered securities dealers, investment advisers, branch offices and associated persons to determine compliance with the Securities and Investor Protection Act.

[Disciplinary Guidelines](#) per Chapter 517.1611(1), Florida Statutes.

[Proposed Disciplinary Guidelines](#) under Rule 69W-1000.001, F.A.C.

[Frequently asked questions](#) for the Division of Securities.

### Who We Are

Meet the [Division of Securities Management Team](#).

### Statutes and Rules We Regulate

Chapter [517](#), Florida Statutes - Securities and Investor Protection Act  
 Chapter [69W-100](#) through [69W-1000](#), Florida Administrative Code - Florida Securities Rules

[Accessibility](#)

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