

NONSUBSTANTIVE

For use by Secretary of State only

OAL FILE NUMBERS	NOTICE FILE NUMBER Z-2024-0515-01	REGULATORY ACTION NUMBER 2024-0612-01	EMERGENCY NUMBER N
For use by Office of Administrative Law (OAL) only			
OFFICE OF ADMINISTRATIVE LAW Electronic Submission RECEIVED DATE 5/15/2024 PUBLICATION DATE 5/24/2024		OFFICE OF ADMIN. LAW 2024 JUN 12 PM 8:05 REGULATIONS	

ENDORSED - FILED
in the office of the Secretary of State
of the State of California

JUL 25 2024
2:11 PM

AGENCY WITH RULEMAKING AUTHORITY Department of Financial Protection and Innovation	AGENCY FILE NUMBER (If any) PRO 04-24 Broker Dealer Petition
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A. PUBLICATION OF NOTICE (Complete for publication in Notice Register)

1. SUBJECT OF NOTICE Broker Dealer Petition to Adopt/Repeal Regulation 10	TITLE(S) 10	FIRST SECTION AFFECTED 260.217	2. REQUESTED PUBLICATION DATE 5/24/2024
3. NOTICE TYPE ☐ Notice re Proposed Regulatory Action ☒ Other	4. AGENCY CONTACT PERSON Sherri Kaufman	TELEPHONE NUMBER 916-217-6643	FAX NUMBER (Optional)
OAL USE ONLY ☐ Approved as Submitted ☐ Approved as Modified ☐ Disapproved/Withdrawn	ACTION ON PROPOSED NOTICE		NOTICE REGISTER NUMBER
		PUBLICATION DATE	

B. SUBMISSION OF REGULATIONS (Complete when submitting regulations)

1a. SUBJECT OF REGULATION(S) Broker Dealer Petition to Adopt/Repeal Regulation	1b. ALL PREVIOUS RELATED OAL REGULATORY ACTION NUMBER(S)		
2. SPECIFY CALIFORNIA CODE OF REGULATIONS TITLE(S) AND SECTION(S) (Including title 26, if toxics related)			
SECTION(S) AFFECTED (List all section number(s) individually. Attach additional sheet if needed.)	ADOPT		
	AMEND 260.217		
TITLE(S) 10	REPEAL		
3. TYPE OF FILING			
☐ Regular Rulemaking (Gov. Code §11346) ☐ Resubmittal of disapproved or withdrawn nonemergency filing (Gov. Code §§11349.3, 11349.4) ☐ Emergency (Gov. Code, §11346.1(b))	☐ Certificate of Compliance: The agency officer named below certifies that this agency complied with the provisions of Gov. Code §§11346.2-11347.3 either before the emergency regulation was adopted or within the time period required by statute. ☐ Resubmittal of disapproved or withdrawn emergency filing (Gov. Code, §11346.1)		
☐ Emergency Readopt (Gov. Code, §11346.1(h)) ☐ File & Print ☐ Other (Specify) _____			
☒ Changes Without Regulatory Effect (Cal. Code Regs., title 1, §100) ☐ Print Only			
4. ALL BEGINNING AND ENDING DATES OF AVAILABILITY OF MODIFIED REGULATIONS AND/OR MATERIAL ADDED TO THE RULEMAKING FILE (Cal. Code Regs. title 1, §44 and Gov. Code §11347.1) N/A			
5. EFFECTIVE DATE OF CHANGES (Gov. Code, §§ 11343.4, 11346.1(d); Cal. Code Regs., title 1, §100) ☐ Effective January 1, April 1, July 1, or October 1 (Gov. Code §11343.4(a)) ☐ Effective on filing with Secretary of State ☒ \$100 Changes Without Regulatory Effect ☐ Effective other (Specify) _____			
6. CHECK IF THESE REGULATIONS REQUIRE NOTICE TO, OR REVIEW, CONSULTATION, APPROVAL OR CONCURRENCE BY, ANOTHER AGENCY OR ENTITY ☐ Department of Finance (Form STD. 399) (SAM §6660) ☐ Fair Political Practices Commission ☐ State Fire Marshal ☐ Other (Specify) _____			
7. CONTACT PERSON DeEtte Phelps	TELEPHONE NUMBER 916-477-9095	FAX NUMBER (Optional)	E-MAIL ADDRESS (Optional) DeEtte.Phelps@dfpi.ca.gov

8. I certify that the attached copy of the regulation(s) is a true and correct copy of the regulation(s) identified on this form, that the information specified on this form is true and correct, and that I am the head of the agency taking this action, or a designee of the head of the agency, and am authorized to make this certification.

SIGNATURE OF AGENCY HEAD OR DESIGNEE Colleen Monahan Digitally signed by Colleen Monahan Date: 2024.06.11 10:03:15 -0700	DATE 06/11/2024
TYPED NAME AND TITLE OF SIGNATORY Colleen Monahan, Deputy Commissioner	

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ENDORSED APPROVED

JUL 25 2024

Office of Administrative Law