

FLORIDA OFFICE OF  
**FINANCIAL REGULATION**



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**April 2020**

Regarding the ongoing developments related to the coronavirus (COVID-19) pandemic, the Office of Financial Regulation wants to make you aware of the steps we are taking to keep our staff and our stakeholders as safe as possible.

- For your safety and that of our staff, the offices of the Office of Financial Regulation are closed to the public. The Division of Securities staff are teleworking from home.
- You may reach the staff of the Securities division via their state email or by leaving them a voicemail message on their state office line. All staff will be responding to email and voicemail messages throughout the day every business day during this telework period. When leaving a voicemail message, please leave an email address and phone number where you can be contacted. Relevant contact information is available on the agency's website at [www.flofr.com](http://www.flofr.com)
- Registration staff are continuing to process registration applications through the Central Registration Depository/Investment Adviser Registration Depository (CRD/IARD) and Regulatory Enforcement and Licensing (REAL) systems. Requests for supplemental information may be submitted via email.
- Examination staff are conducting streamlined, remote examinations using phone and email correspondence in lieu of traditional on-site examinations during this time.
- Legal staff also are limiting in-person contacts with witnesses and regulatory partners, taking advantage of phone, email, and other forms of telecommunications technology to complete their work in a virtual environment.

- We are sensitive to the challenges that the crisis has created for our registered community and our constituents. Please know that our staff will be responsive and receptive to requests for extensions and other appropriate forms of regulatory relief arising from service and staff disruptions occasioned by COVID-19.

We are following all directives and guidance issued by Governor Ron DeSantis and the State Health Officer and Surgeon General related to COVID-19, including those related to travel and public gatherings. For this reason, staff are abstaining from professional conferences and training programs, which are being canceled or postponed in large part due to social distancing efforts to reduce viral impact.

Important information on COVID-19 is available at [www.floridahealthcovid19.gov/](http://www.floridahealthcovid19.gov/). Related regulatory information is available on the agency's website at [www.flofr.com](http://www.flofr.com). Additional securities regulatory information related to COVID-19 for jurisdictions beyond Florida can be found on the website of the North American Securities Administrators Association, of which the Office of Financial Regulation is a member, at the following link: [www.nasaa.org/industry-resources/covid-19-updates/](http://www.nasaa.org/industry-resources/covid-19-updates/).

Please keep yourself informed and stay safe.

If you have questions or concerns about this message, please don't hesitate to contact the Division of Securities by emailing the following address: [OFRSecurities@flofr.com](mailto:OFRSecurities@flofr.com).