

Notice of Submittal of Proposed Rule to Legislative Council Rules Clearinghouse

On July 14, 2021, the Department of Financial Institutions submitted a proposed rule to the Wisconsin Legislative Council Rules Clearinghouse pursuant to s. 227.15 (1), Wis. Stats.

Analysis

The proposed rule creates Chapter DFI-Sec 11 of the Wisconsin Administrative Code, relating to requiring continuing education for investment adviser representatives.

Statement of Scope

The scope statement for this rule, SS DFI-Sec Ch. 11, was approved by the Governor on February 19th, 2021, published in Register No.783A1 on March 1, 2021, and approved by the Administrator, Division of Securities on February 1, 2021. The scope statement number is SS 024-21.

Agency Procedure for Promulgation

A public hearing is required and will be held on a date to be determined.

Agency Organizational Unit Primarily Responsible for Promulgating Rule

Division of Securities

Agency Contact Person

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