

Notice of Hearing

The Department of Financial Institutions announces that it will hold a public hearing on a permanent rule order to create DFI-Sec 11 of the Wisconsin Administrative Code, relating to continuing education requirements for investment adviser representatives.

Hearing Information

Date: September 15, 2021

Time: 11:00 a.m.

Location: via Microsoft Teams [Click here to join the meeting](#)

To attend the meeting, go to Microsoft teams and [Click here to join the meeting](#)

If you prefer to attend via phone, dial (+1 608-571-2209) and when prompted for the meeting access code, enter 270 980 785#

Accessibility

Pursuant to the Americans with Disabilities Act, reasonable accommodations, including the provision of information material in an alternative format, will be provided for qualified individuals with disabilities upon request. Please call Marc Shovers at (608) 572-1639 with specific information on your request at least 10 days before the date of the scheduled hearing.

Hearing impaired persons may request an interpreter for this hearing. Please make reservations for a hearing interpreter at least 10 days before the scheduled hearing by e-mailing marc.shovers1@dfi.wisconsin.gov.

Alternatively, hearing impaired persons may access services here:
<https://wisconsinrelay.com/relay-services/introducing-relay-service/>

Appearances at the Hearing and Submittal of Written Comments

The rule may be reviewed and comments made at https://docs.legis.wisconsin.gov/code/chr/all/cr_21_057 no later than the date of the hearing to be included in the record of rulemaking proceedings. Subject to the same deadline, comments may also be submitted as follows:

By mail: Marc Shovers, Administrative Rules Coordinator, Department of Financial Institutions, PO Box 8861, Madison, WI 53708-8861.

By delivery: Marc Shovers, Administrative Rules Coordinator, Department of Financial Institutions, 4822 Madison Yards Way, North Tower, 4th Floor, Madison, WI 53705.

By e-mail: DFIComments@dfi.wisconsin.gov

The proposed rule, fiscal estimate and economic impact analysis may be accessed at:

https://docs.legis.wisconsin.gov/code/chr/all/cr_21_057

Initial Regulatory Flexibility Analysis

The proposed rule will have little to no effect on small businesses, as defined under s. 227.114 (1).

Agency Small Business Regulatory Coordinator

Marc Shovers, (608) 572-1639, marc.shovers1@dfi.wisconsin.gov

Approved: 08/25/2021.



Leslie Van Buskirk
Administrator, Division of Securities