WISCONSIN STATE LEGISLATURE ...
PUBLIC HEARING - COMMITTEE RECORDS

1995-96
(session year)

Assembly
(Assembly, Senate or Joint)

Committee on Insurance, Securities and Corporate Policy...

COMMITTEE NOTICES ...

➢ Committee Reports ... **CR**

➢ Executive Sessions ... **ES**

➢ Public Hearings ... **PH**

INFORMATION COLLECTED BY COMMITTEE FOR AND AGAINST PROPOSAL

➢ Appointments ... **Appt** (w/Record of Comm. Proceedings)

➢ Clearinghouse Rules ... **CRule** (w/Record of Comm. Proceedings)

➢ Hearing Records ... bills and resolutions (w/Record of Comm. Proceedings)
   (**ab** = Assembly Bill)   (**ar** = Assembly Resolution)   (**ajr** = Assembly Joint Resolution)
   (**sb** = Senate Bill)   (**sr** = Senate Resolution)   (**sjr** = Senate Joint Resolution)

➢ Miscellaneous ... **Misc**

Assembly

Record of Committee Proceedings

Clearinghouse Rule 95-158

Relating to AN ORDER to repeal SEC 2.01 (1) (c) 2. and 3. and (d) 2. and 3., 2.02 (5) (d) 3. and (9) (i) and 2.027 (5); to renumber SEC 2.01 (1) (c) 4., 5. and 6. and (d) 4., 5 and 6. and (9) (j) to (n), 2.027 (6) to (9), 4.01 (4) (e) and 4.03 (6); to amend SEC 2.01 (1) (a) 3., 2.02 (1) (a), (4) (c) 2., (5) (d) 1. and (9) (i) and (L), 2.027 (1) (intro.), (4), (7) (a) and (8) (b), 3.23 (3), 4.01 (3) (intro.) and (5), 4.03 (3) (c), 4.04 (8) (b), 4.05 (5) and (6), 5.01 (4) (a) and (5), 5.02 (1), 5.05 (7), 7.01 (7) (c) and (e), 7.06 (2) and 9.01 (1) (a) 8.; to repeal and recreate SEC 2.02 (5) (d) 2., 5.01 (3), 5.04 (1) and 7.01 (9); and to create SEC 2.01 (3) (c), (d) and (e), 2.02 (4) (h) and (9) (n), 2.028, 3.001, 4.01 (4) (e), 4.03 (6), 5.03 (1) (m) and (n) and 9.01 (1) (a) 18. and 19. and (c), relating to securities registration exemptions, securities registration and disclosure standards and requirements, securities broker dealer, securities agent and securities investment advisor licensing requirements and procedures, fee-related provisions and securities licensing forms. Submitted by Office of the Commissioner of Securities.

October 10, 1995

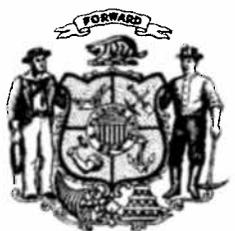Referred to committee on Insurance, Securities & Corporate Policy.
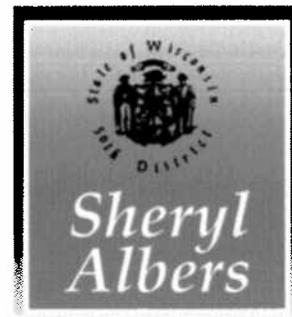
November 12, 1995

No action taken.

/S/

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Darcy J. Demaske, Committee Clerk

October 11, 1995

TO: MEMBERS OF THE ASSEMBLY INSURANCE, SECURITIES
         AND CORPORATE POLICY COMMITTEE

FROM: REPRESENTATIVE SHERYL K. ALBERS

RE: CLEARINGHOUSE RULE REFERRAL: CR 95-158

On October 11, 1995, the following clearinghouse rule was referred
to the Assembly Insurance, Securities and Corporate Policy
Committee:

Clearinghouse Rule 95-158   Relating to AN ORDER to repeal SEC
                                 2.01 (1) (c) 2. and 3. and (d) 2.
                                 and 3., 2.02 (5) (d) 3. and (9) (i)
                                 and 2.027 (5); to renumber SEC 2.01
                                 (1) (c) 4., 5. and 6. and (d) 4., 5
                                 and 6. and (9) (j) to (n), 2.027 (6)
                                 to (9), 4.01 (4) (e) and 4.03 (6);
                                 to amend SEC 2.01 (1) (a) 3., 2.02
                                 (1) (a), (4) (c) 2., (5) (d) 1. and
                                 (9) (i) and (L), 2.027 (1) (intro.),
                                 (4), (7) (a) and (8) (b), 3.23 (3),
                                 4.01 (3) (intro.) and (5), 4.03 (3)
                                 (c), 4.04 (8) (b), 4.05 (5) and (6),
                                 5.01 (4) (a) and (5), 5.02 (1), 5.05
                                 (7), 7.01 (7) (c) and (e), 7.06 (2)
                                 and 9.01 (1) (a) 8.; to repeal and
                                 recreate SEC 2.02 (5) (d) 2., 5.01
                                 (3), 5.04 (1) and 7.01 (9); and to
                                 create SEC 2.01 (3) (c), (d) and
                                 (e), 2.02 (4) (h) and (9) (n),
                                 2.028, 3.001, 4.01 (4) (e), 4.03
                                 (6), 5.03 (1) (m) and (n) and 9.01
                                 (1) (a) 18. and 19. and (c),
                                 relating to securities registration
                                 exemptions, securities registration
                                 and disclosure standards and
                                 requirements, securities broker
                                 dealer, securities agent and
                                 securities investment advisor
                                 licensing requirements and
                                 procedures, fee-related provisions
                                 and securities licensing forms.
                                 Submitted by Office of the
                                 Commissioner of Securities.

Our review period extends through November 10, 1995.   Please
contact my office if you would like a copy of the rule.