



WISCONSIN LEGISLATIVE COUNCIL RULES CLEARINGHOUSE

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CLEARINGHOUSE REPORT TO AGENCY

[THIS REPORT HAS BEEN PREPARED PURSUANT TO S. 227.15, STATS. THIS IS A REPORT ON A RULE AS ORIGINALLY PROPOSED BY THE AGENCY; THE REPORT MAY NOT REFLECT THE FINAL CONTENT OF THE RULE IN FINAL DRAFT FORM AS IT WILL BE SUBMITTED TO THE LEGISLATURE. THIS REPORT CONSTITUTES A REVIEW OF, BUT NOT APPROVAL OR DISAPPROVAL OF, THE SUBSTANTIVE CONTENT AND TECHNICAL ACCURACY OF THE RULE.]

CLEARINGHOUSE RULE **01-082**

AN ORDER to repeal DFI-Sec 4.01 (5) and 4.05 (6); to renumber DFI-Sec 4.01 (6) to (10) and 7.01 (4) (c); to amend DFI-Sec 4.01 (3) (intro.), 4.04 (8) (a) and 5.04 (5) (a); and to create DFI-Sec 2.04 (1) (c) and 4.01 (3) (h), relating to securities broker-dealer, agent, investment adviser and investment adviser representative licensing procedures, examination requirements, and rule of conduct provisions.

Submitted by **DEPARTMENT OF FINANCIAL INSTITUTIONS**

07-13-01 RECEIVED BY LEGISLATIVE COUNCIL.

08-10-01 REPORT SENT TO AGENCY.

RNS:DLS:jal;wu

