

## **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 19<sup>th</sup>, 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**

Leslie Van Buskirk  
Administrator, Division of Securities  
Wisconsin Department of Financial Institutions  
608.266.3432  
Leslie.VanBuskirk@dfi.wisconsin.gov