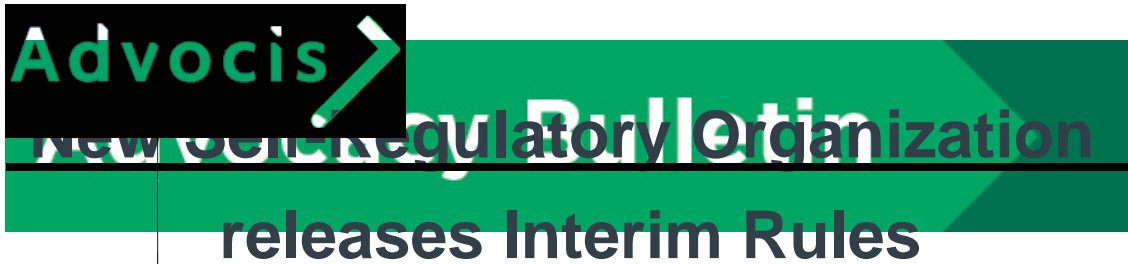
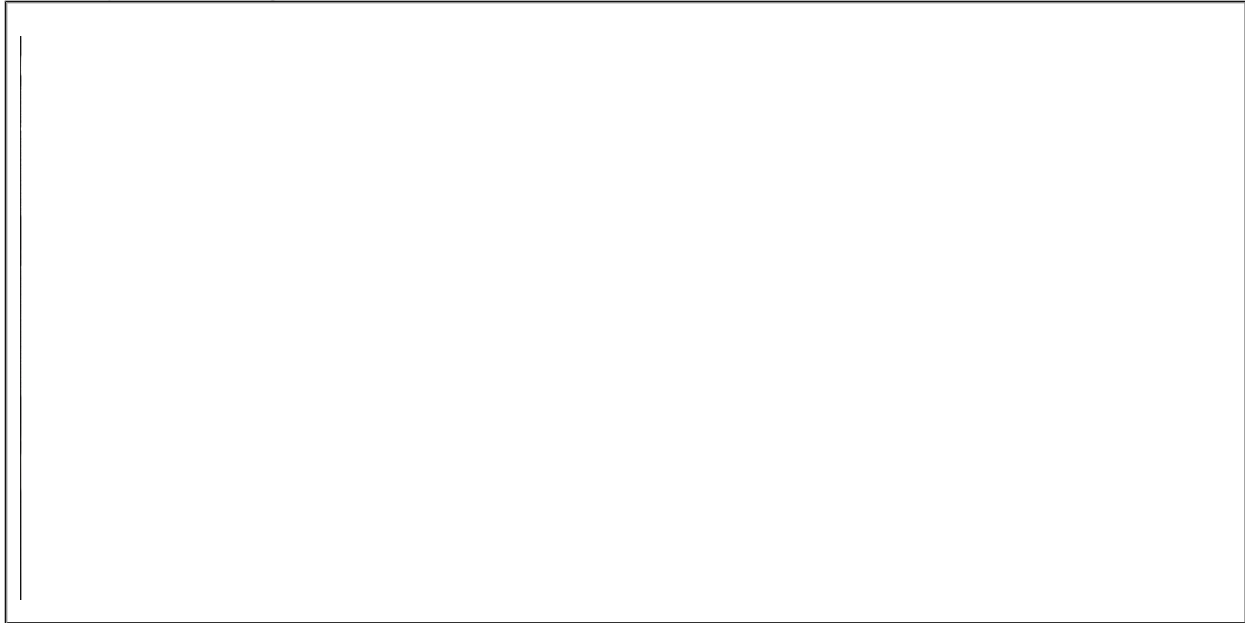




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New Self-Regulatory Organization releases Interim Rules

Submitted by Rica Zara on August 4, 2022 - 12:00am



Changes to Registration Categories, Proficiency Requirements and Directed Commissions

Please Note: You must log into your Advocis account to read the full
The CSA has published interim rules for the New SRO which will serve as a
stop-gap measure until the larger harmonization of the rule books can be

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completed. Even so, the interim rules bring about some key changes that will impact advisors and dealers, including the introduction of a new class of registered firm; new proficiency requirements for certain categories of approved persons; the approach to continuing education requirements; and developments regarding directed commissions.