



**State of Wisconsin**  
*Department of Financial Institutions*

Jim Doyle, **Governor**

Lorrie Keating Heinemann, **Secretary**

October 30, 2009

Bruce Hoesly  
Legislative Reference Bureau  
1 East Main Street, Suite 200  
Madison, WI 53703

*Via hand-delivery w/encl & e-mail (Admin-Code-Register@legis.wi.gov) w/attachments*

**RE: Filing of Certified Copy of Promulgated Rule**

Dear Mr. Hoesly:

Pursuant to the requirements of s. 227.20, Stats., enclosed for filing and publication is a certified copy of the following rule promulgated by the State of Wisconsin, Department of Financial Institutions, Division of Securities, as well as an additional uncertified copy of the same:

- CR 09-056 (proposed rule to amend ss. DFI—Sec 1.02(5)(b) and (c); repeal ss. DFI—Sec 1.02(8), 2.01(9) and (10), 2.02(9)(b) and (m); amend ss. DFI—Sec 3.03(1); amend ss. DFI—Sec 4.01(3) and (4)(e) – (g), 5.01(4)(a) and (b), and 5.05(2)(a); create s. DFI—5.13(4); amend s. DFI—7.01(2)(title) and (c); and repeal ss. DFI—Sec 9.01(1)(b)10 and 13 relating to minor revisions to securities administrative code sections for conformity with Wisconsin securities statutes, filings and securities agent examination matters).

If you have any questions, please do not hesitate to contact me at tel. (608) 267-1705.

Sincerely,

Mark Schlei  
Deputy General Counsel

Via hand-delivery, w/encls & e-mail [bruce.hoesly@legis.wisconsin.gov], w/attachments

*c: Legislative Council (via inter-d [1 East Main St., Suite 401], w/encls & e-mail [clearinghouse@legis.state.wi.us], w/attachments)  
Wisconsin Administrative Rules (via e-mail [adminrules@wisconsin.gov], w/attachments)*

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