



**Department of Business Regulation  
Securities Division**

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# SECURITIES BULLETIN NUMBER 2024-01

## Proposed Rule-Making Change to Regulation 230-RICR-50-05-2

This Bulletin is applicable to all Department of Business Regulation (“Department”) Licensees, and those individuals and/or entities pursuing licensure, pursuant to R.I. Gen. Laws § 7-11-705 et seq. and 230-RICR-50-05-2, PART 2 – Post-Licensing Requirements (the “Regulation”).

For the safety of Rhode Island consumers, the Department has added a new section to the regulation – Section 2.7 Investment Adviser Representative Continuing Education Requirements. The proposed amendment, which is in red type, can be found [here](#).

Current and prospective Licensees should make advance preparations for compliance with the proposed regulation change.

The public comment period is open through the close of business on Friday, September 6, 2024. Please direct any public comment, or questions you may have to the Department via email at [DBR.SecInquiry@dbr.ri.gov](mailto:DBR.SecInquiry@dbr.ri.gov).

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Associate Director

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