

191—50.13(502) Agent continuing education requirements. Every registered agent shall comply with all applicable continuing education requirements adopted by FINRA, NYSE, or any other self-regulatory agency. Failure to comply with any such requirements may be a basis for discipline pursuant to Iowa Code section 502.412(4)“n.”

This rule is intended to implement Iowa Code section 502.411(8).

[ARC 9169B, IAB 10/20/10, effective 11/24/10]