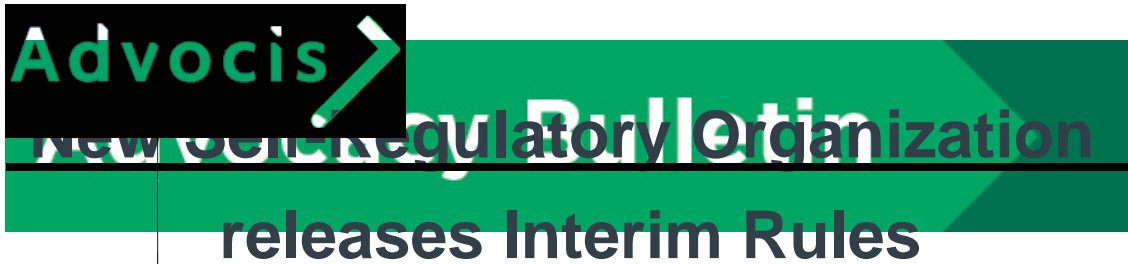
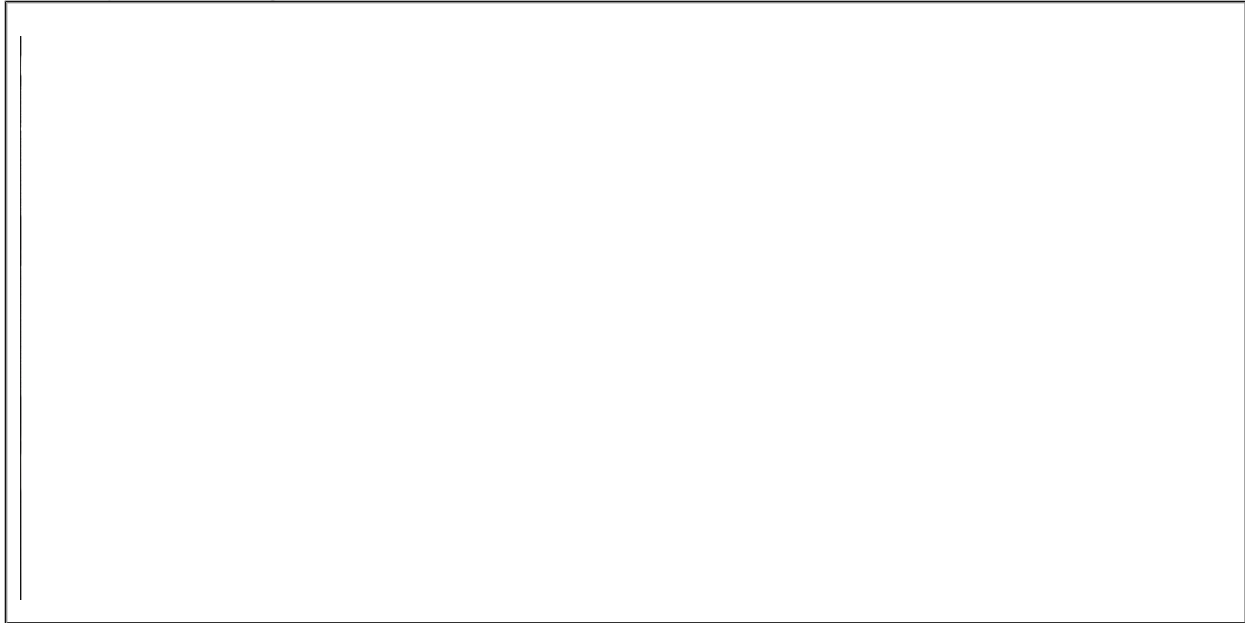




GLOBAL PACIFIC
FINANCIAL SERVICES LTD.

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 bulletin. 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 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.