

Sec. 36b-31-6g. Multiple registration

(a) No person shall be concurrently registered as an agent of more than one broker-dealer or issuer unless written consent is obtained from the commissioner.

(b) No person shall be concurrently registered as an investment adviser agent of more than one investment adviser unless written consent is obtained from the commissioner.

(c) The commissioner may consent to multiple registration under subsections (a) and (b) of this section if each employer files a written undertaking with the commissioner containing the following information: (1) A statement by each employer that it consents to the multiple employment of the agent or investment adviser agent and setting forth the effective date of the multiple employment and (2) a statement by each employer that it agrees to assume joint and several liability with all other employers for any act or omission of the agent or investment adviser agent during the employment period.

(d) The commissioner may concurrently register an individual as an agent and an investment adviser agent provided that an individual acting in such dual capacity shall obtain prior written consent from his employers to act in such capacity, and the written consent is filed with the commissioner, except that such consent is not required where both employers are affiliated or under common management and control.

(Effective August 22, 1994; Transferred July 3, 1995)