

**RULE 1500**  
**CONDUCT AND PRACTICES HANDBOOK FOR SECURITIES**  
**INDUSTRY PROFESSIONALS**

1500.1

- (a) Every registered representative, [investment representative](#), partner, director or officer of a Dealer Member shall have in their possession and have read the Conduct and Practices Handbook for Securities Industry Professionals, including any updates:
- (b) Each Dealer Member shall:
  - (i) Take reasonable measures to ensure that all individuals who are employed by such Dealer Member as a registered representative, [investment representative](#), partner, director or officer have in their possession and have read the Conduct and Practices Handbook for Securities Industry Professionals including any updates; and
  - (ii) Bring to the attention and provide all updates of the Conduct and Practices Handbook for Securities Industry Professionals to all registered representatives, investment representatives, partners, directors and officers.
- (c) For the purposes of Rule 1500, having access to an electronic version of the Conduct and Practices Handbook for Securities Industry Professionals shall qualify as having possession of it.