

PART VII. SECURITIES

Subpart	Chap.
A. DEFINITIONS	101
B. REGISTRATION OF SECURITIES	201
C. REGISTRATION OF BROKER-DEALERS, AGENTS, INVESTMENT ADVISERS AND INVESTMENT ADVISER REPRESENTATIVES AND NOTICE FILINGS BY FEDERALLY COVERED ADVISORS	301
D. FRAUDULENT AND PROHIBITED PRACTICES	401
E. ENFORCEMENT	501
F. ADMINISTRATION	601
G. GENERAL PROVISIONS	701
H. [Reserved]	901
I. TAKEOVER OFFERORS	1001

Authority

The provisions of this Part VII issued under section 609 of the Pennsylvania Securities Act of 1972 (70 P. S. § 1-609); transferred and renumbered from 64 Pa. Code Part I, December 14, 2012, effective December 15, 2012, 42 Pa.B. 7533, unless otherwise noted. Immediately preceding text appears at serial pages (268770) to (268771).

Subpart A. DEFINITIONS

Chap.	GENERAL PROVISIONS	Sec.
101.	GENERAL PROVISIONS	101.000
102.	DEFINITIONS	102.031

CHAPTER 101. GENERAL PROVISIONS

Sec.
101.000. Statutory references.

§ 101.000. Statutory references.

The references in this part to statutory provisions or to provisions of the act are, unless the context otherwise requires, references to the Pennsylvania Securities Act of 1972 (70 P. S. §§ 1-101—1-704). This part is keyed to the provisions of the act. For example, the provisions of §§ 203.011—203.171 (relating to nonissuer transactions; and liquidations, dividends and distributions) relate to section 203 of the act (70 P. S. § 1-203).

Source

The provisions of this § 101.000 transferred and renumbered from 64 Pa. Code § 101.000, December 14, 2012, effective December 15, 2012, 42 Pa.B. 7533. Immediately preceding text appears at serial page (268771).

[Next page is 102-1.]

101-2

(389624) No. 521 Apr. 18

Copyright © 2018 Commonwealth of Pennsylvania