

Subpart F. ADMINISTRATION

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CHAPTER 601. ADMINISTRATION

- Sec.
- 601.010. [Reserved].
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- 601.030. Access to confidential information.

§ 601.010. [Reserved].

Authority

The provisions of this § 601.010 reserved under section 202.C of the Department of Banking and Securities Code (71 P.S. § 733-202.C); section 609(a) of the Pennsylvania Securities Act of 1972 (70 P.S. § 1-609(a)); and section 9(b) of the Takeover Disclosure Law (70 P.S. § 79(b)).

Source

The provisions of this § 601.010 adopted January 17, 1975, effective January 18, 1975, 5 Pa.B. 105; transferred and renumbered from 64 Pa. Code § 601.010, December 14, 2012, effective December 15, 2012, 42 Pa.B. 7533; reserved January 12, 2018, effective January 13, 2018, 48 Pa.B. 389. Immediately preceding text appears at serial pages (364803) to (364804).

§ 601.020. [Reserved].

Authority

The provisions of this § 601.020 reserved under section 202.C of the Department of Banking and Securities Code (71 P.S. § 733-202.C); section 609(a) of the Pennsylvania Securities Act of 1972 (70 P.S. § 1-609(a)); and section 9(b) of the Takeover Disclosure Law (70 P.S. § 79(b)).

Source

The provisions of this § 601.020 adopted January 17, 1975, effective January 18, 1975, 5 Pa.B. 105; transferred and renumbered from 64 Pa. Code § 601.020, December 14, 2012, effective December 15, 2012, 42 Pa.B. 7533; reserved January 12, 2018, effective January 13, 2018, 48 Pa.B. 389. Immediately preceding text appears at serial page (364804).

§ 601.030. Access to confidential information.

(a) *General rule.* The Department may, on a showing that the information is needed, provide confidential information in its possession to any of the following persons if the person receiving the confidential information provides assurances of confidentiality as the Department considers appropriate:

- (1) A Federal, state, local or foreign government or any political subdivision, authority, agency or instrumentality of the government.
- (2) A self-regulatory organization.
- (3) A foreign financial regulatory authority as defined in section 3(a)(52) of the Securities Exchange Act of 1934 (15 U.S.C.A. § 78c(a)(52)).
- (4) The Securities Investor Protection Corporation or any trustee or counsel for a trustee appointed under section 5(b) of the Securities Investor Protection Act of 1970 (15 U.S.C.A. § 78eee(b)).
- (5) A trustee in bankruptcy.
- (6) A trustee, receiver, master, special counsel or other person that is appointed by a court of competent jurisdiction or as a result of an agreement between the parties in connection with litigation or an administrative proceeding involving allegations of violations of the act, if the trustee, receiver, master, special counsel or other person is specifically designated to perform particular functions with respect to, or as a result of, the litigation or proceeding or in connection with the administration and enforcement by the Department of the act.
- (7) A duly authorized agent, employee or representative of any of the persons listed in this subsection.

(b) *Nonapplicability.* This section does not affect the Department's authority or discretion to provide access to, or copies of, nonpublic information in its possession in accordance with the other authority or discretion as the Department possesses by statute, regulation or statement of policy.

Authority

The provisions of this § 601.030 issued under section 202.C of the Department of Banking and Securities Code (71 P.S. § 733-202.C); section 609(a) of the Pennsylvania Securities Act of 1972 (70 P.S. § 1-609(a)); and section 9(b) of the Takeover Disclosure Law (70 P.S. § 79(b)).

Source

The provisions of this § 601.030 adopted January 12, 2018, effective January 13, 2018, 48 Pa.B. 389.

Cross References

This section cited in 10 Pa. Code § 603.031 (relating to public inspection of records).

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