**CHAPTER 13**

**DEALERS IN SECURITIES**

**SUBCHAPTER 1**

**GENERAL PROVISIONS**

**(REPEALED)**

**§751. Title**

**(REPEALED)**

SECTION HISTORY

PL 1967, c. 484, §1 (AMD). PL 1973, c. 111 (AMD). PL 1973, c. 212, §1 (AMD). PL 1977, c. 696, §235 (AMD). PL 1979, c. 697, §§1-3 (AMD). PL 1981, c. 448, §1 (RPR). PL 1985, c. 400, §1 (RP).

**§751-A. Definitions**

**(REPEALED)**

SECTION HISTORY

PL 1981, c. 448, §2 (NEW). PL 1985, c. 400, §1 (RP).

**§752. Service of notices**

**(REPEALED)**

SECTION HISTORY

PL 1973, c. 585, §11 (AMD). PL 1981, c. 448, §3 (AMD). PL 1985, c. 400, §1 (RP).

**§753. Appeals**

**(REPEALED)**

SECTION HISTORY

PL 1973, c. 585, §11 (AMD). PL 1977, c. 694, §555 (RPR). PL 1985, c. 400, §1 (RP).

**§754. Penalties and enforcement provisions**

**(REPEALED)**

SECTION HISTORY

PL 1967, c. 484, §2 (AMD). PL 1973, c. 585, §11 (AMD). PL 1981, c. 448, §4 (RPR). PL 1985, c. 400, §1 (RP).

**§755. Fraudulent and other prohibited practices**

**(REPEALED)**

SECTION HISTORY

PL 1967, c. 484, §3 (NEW). PL 1985, c. 400, §1 (RP).

**§756. Rules and regulations**

**(REPEALED)**

SECTION HISTORY

PL 1967, c. 484, §4 (NEW). PL 1973, c. 585, §11 (AMD). PL 1977, c. 694, §556 (AMD). PL 1981, c. 448, §§5,6 (AMD). PL 1985, c. 400, §1 (RP).

**SUBCHAPTER 2**

**BANK SUPERINTENDENT**

**(REPEALED)**

**§801. Director of Securities Division; examiners**

**(REPEALED)**

SECTION HISTORY

PL 1967, c. 484, §5 (AMD). PL 1973, c. 585, §11 (AMD). PL 1985, c. 389, §11 (RP). PL 1985, c. 400, §1 (RP).

**§802. List of dealers**

**(REPEALED)**

SECTION HISTORY

PL 1973, c. 585, §11 (AMD). PL 1975, c. 767, §25 (RPR). PL 1981, c. 448, §7 (AMD). PL 1981, c. 698, §156 (AMD). PL 1983, c. 599, §1 (RPR). PL 1985, c. 400, §1 (RP).

**§803. List of securities; statement of assets and earnings**

**(REPEALED)**

SECTION HISTORY

PL 1967, c. 484, §6 (AMD). PL 1973, c. 585, §11 (AMD). PL 1985, c. 400, §1 (RP).

**§804. Information by Bank Commissioner to advisory committee**

**(REPEALED)**

SECTION HISTORY

PL 1967, c. 484, §7 (RP). PL 1985, c. 400, §1 (RP).

**§805. Revocation or suspension; dealer's registration**

**(REPEALED)**

SECTION HISTORY

PL 1973, c. 585, §11 (AMD). PL 1977, c. 694, §557 (AMD). PL 1981, c. 448, §8 (RPR). PL 1983, c. 599, §2 (AMD). PL 1985, c. 400, §1 (RP).

**§806. Revocation or suspension; agent's registration**

**(REPEALED)**

SECTION HISTORY

PL 1973, c. 585, §11 (AMD). PL 1977, c. 694, §558 (AMD). PL 1981, c. 448, §8 (RPR). PL 1983, c. 599, §3 (AMD). PL 1985, c. 400, §1 (RP).

**§807. Exemptions**

**(REPEALED)**

SECTION HISTORY

PL 1973, c. 55, §1 (NEW). PL 1973, c. 585, §11 (AMD). PL 1981, c. 448, §9 (AMD). PL 1985, c. 400, §1 (RP).

**SUBCHAPTER 3**

**REGISTRATION**

**(REPEALED)**

**§851. Registration required**

**(REPEALED)**

SECTION HISTORY

PL 1973, c. 55, §2 (AMD). PL 1981, c. 448, §10 (AMD). PL 1985, c. 400, §1 (RP).

**§852. Dealer application**

**(REPEALED)**

SECTION HISTORY

PL 1967, c. 484, §8 (AMD). PL 1973, c. 585, §11 (AMD). PL 1981, c. 448, §11 (RPR). PL 1983, c. 599, §4 (AMD). PL 1985, c. 400, §1 (RP).

**§853. Fees**

**(REPEALED)**

SECTION HISTORY

PL 1973, c. 585, §11 (AMD). PL 1975, c. 767, §26 (RPR). PL 1981, c. 448, §12 (RPR). PL 1983, c. 599, §5 (RPR). PL 1985, c. 400, §1 (RP).

**§854. Expiration of registration**

**(REPEALED)**

SECTION HISTORY

PL 1973, c. 585, §11 (AMD). PL 1975, c. 767, §27 (RPR). PL 1981, c. 448, §12A (RPR). PL 1983, c. 553, §46 (AMD). PL 1983, c. 599, §6 (RPR). PL 1985, c. 400, §1 (RP).

**§855. Use of evidence of registration**

**(REPEALED)**

SECTION HISTORY

PL 1973, c. 585, §11 (AMD). PL 1981, c. 448, §13 (AMD). PL 1983, c. 599, §7 (RPR). PL 1985, c. 400, §1 (RP).

**§856. Agents; application; examinations**

**(REPEALED)**

SECTION HISTORY

PL 1967, c. 484, §9 (AMD). PL 1973, c. 585, §11 (AMD). PL 1975, c. 767, §§28,29 (AMD). PL 1981, c. 448, §§14-18 (AMD). PL 1983, c. 553, §46 (AMD). PL 1983, c. 599, §§8-10 (AMD). PL 1985, c. 400, §1 (RP).

**§857. Exempted dealers**

**(REPEALED)**

SECTION HISTORY

PL 1973, c. 212, §2 (NEW). PL 1979, c. 697, §7 (AMD). PL 1985, c. 400, §1 (RP).

**SUBCHAPTER 4**

**REGISTRATION OF SECURITIES**

**(REPEALED)**

**§871. Registration of securities; notice of intention to sell**

**(REPEALED)**

SECTION HISTORY

PL 1967, c. 291, §1 (NEW). PL 1967, c. 484, §10 (NEW). PL 1967, c. 544, §79 (RP). PL 1973, c. 55, §3 (AMD). PL 1973, c. 57 (AMD). PL 1973, c. 585, §11 (AMD). PL 1973, c. 625, §211 (AMD). PL 1979, c. 697, §8 (AMD). PL 1981, c. 448, §19 (AMD). PL 1985, c. 400, §1 (RP).

**§872. Investigations; denial or revocation of registration of securities**

**(REPEALED)**

SECTION HISTORY

PL 1967, c. 291, §1 (NEW). PL 1967, c. 484, §10 (NEW). PL 1967, c. 544, §79 (RP). PL 1973, c. 585, §11 (AMD). PL 1977, c. 694, §559 (RPR). PL 1981, c. 448, §20 (AMD). PL 1983, c. 657 (AMD). PL 1985, c. 400, §1 (RP).

**§873. Exempt securities**

**(REPEALED)**

SECTION HISTORY

PL 1967, c. 291, §1 (NEW). PL 1967, c. 484, §10 (NEW). PL 1967, c. 544, §78 (AMD). PL 1967, c. 544, §79 (RP). PL 1973, c. 585, §11 (AMD). PL 1979, c. 697, §4 (AMD). PL 1981, c. 448, §§21,22 (AMD). PL 1985, c. 400, §1 (RP).

**§874. Exempted transactions and distributions**

**(REPEALED)**

SECTION HISTORY

PL 1967, c. 291, §1 (NEW). PL 1967, c. 484, §10 (NEW). PL 1967, c. 544, §79 (RP). PL 1973, c. 212, §3 (AMD). PL 1973, c. 585, §11 (AMD). PL 1975, c. 158 (AMD). PL 1977, c. 474, §§1,2 (AMD). PL 1979, c. 697, §5 (RP).

**§874-A. Exempted transactions and distributions**

**(REPEALED)**

SECTION HISTORY

PL 1979, c. 697, §6 (NEW). PL 1981, c. 448, §23 (AMD). PL 1985, c. 400, §1 (RP).

**SUBCHAPTER 5**

**CIVIL LIABILITIES**

**(REPEALED)**

**§881. Civil liabilities**

**(REPEALED)**

SECTION HISTORY

PL 1967, c. 291, §1 (NEW). PL 1967, c. 484, §10 (NEW). PL 1967, c. 544, §79 (RP). PL 1981, c. 448, §24 (AMD). PL 1985, c. 400, §1 (RP).

**SUBCHAPTER 6**

**NEGOTIABLE CHECKS AND MONEY ORDERS**

**(REPEALED)**

**§891. Sale of negotiable checks and money orders**

**(REPEALED)**

SECTION HISTORY

PL 1967, c. 291, §1 (NEW). PL 1967, c. 544, §79 (RP). PL 1975, c. 500, §2 (NEW). PL 1975, c. 666, §32 (AMD). PL 1975, c. 767, §30 (AMD). PL 1989, c. 17, §§1,2 (AMD). PL 1995, c. 309, §21 (AMD). PL 1995, c. 309, §29 (AFF). PL 1997, c. 155, §A1 (RP). PL 1997, c. 155, §A3 (AFF).

The State of Maine claims a copyright in its codified statutes. If you intend to republish this material, we require that you include the following disclaimer in your publication:

*All copyrights and other rights to statutory text are reserved by the State of Maine. The text included in this publication reflects changes made through the First Regular and Frist Special Session of the 131st Maine Legislature and is current through November 1, 2023
 . The text is subject to change without notice. It is a version that has not been officially certified by the Secretary of State. Refer to the Maine Revised Statutes Annotated and supplements for certified text.*

The Office of the Revisor of Statutes also requests that you send us one copy of any statutory publication you may produce. Our goal is not to restrict publishing activity, but to keep track of who is publishing what, to identify any needless duplication and to preserve the State's copyright rights.

PLEASE NOTE: The Revisor's Office cannot perform research for or provide legal advice or interpretation of Maine law to the public. If you need legal assistance, please contact a qualified attorney.