

Pennsylvania Securities Commission State Documents

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Finding aid written in English

Pennsylvania Department of Education, Bureau of the State Library

Forum Building
607 South Drive
Harrisburg, PA, 17120

Summary Information

Repository: Pennsylvania Department of Education, Bureau of the State Library

Creator: Pennsylvania Securities Commission

Title: Pennsylvania Securities Commission State Documents

Identifier: SEC

Date: 1927 - 2012

Date: Majority of material found within 2011

Physical Description: 2 Megabytes (1 PDF files)

Language of English

Materials:

Scope and Contents

The Pennsylvania Securities Commission consisted of three commissioners appointed by the Governor with the advice and consent of the Senate. The Commission was responsible for administering the Pennsylvania Securities Act of 1972; the Act of May 15, 1933; and the Takeover Disclosure Law of Pennsylvania (Act No. 19 of Mar. 3, 1976). The primary purpose of the regulatory responsibilities and objectives was to protect the public from fraudulent practices in connection with the offer, sale, and purchase of securities in Pennsylvania while, at the same time, encouraging the financing of legitimate business and industry in the Commonwealth.

The publications of the Pennsylvania Securities Commission contain compendiums. Selected topics from these publications include commission orders and required act reporting. The bulk of the current material is dated from 2011.

Biographical / Historical

Acts 164 and 165 of April 13, 1927 created the Securities Commission within the Department of Banking and conferred upon it the Department's responsibilities pursuant to the Securities Act of June 14, 1923. The Commission was created in response to significant changes to the Security Law. Acts 171 and 172 of 1975 made the Commission independent and separate from the Banking Department. The Department of Banking and Securities Commission were combined to create the Department of Banking and Securities effective October 1, 2012.

Legacy Agency Names and Related Agencies

Department of Banking (former parent agency), Department of Banking and Securities (successor agency)

Conditions Governing Use

The compendiums are copyrighted publications, for which the Department of Banking and Securities has permitted educational use.

Other Finding Aids

For more information concerning the records of the Pennsylvania Securities Commission at the Pennsylvania State Archives, please visit: <https://gencat.eloquent-systems.com/pennsylvania-state-archives/permalink.html?key=class158>.

Administrative Information

Publication Statement

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Controlled Access Headings

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