

434.330 Broker not to pledge or dispose of customer's securities without customer's consent.

Any broker who has in his possession any money, stocks, bonds, securities, or other things of value belonging to a customer, without having any lien on them or any special property in them, and pledges them or disposes of them without the customer's consent, shall be guilty of a Class D felony.

Effective: July 14, 1992

History: Amended 1992 Ky. Acts ch. 463, sec. 49, effective July 14, 1992 --
Recodified 1942 Ky. Acts ch. 208, sec. 1, effective October 1, 1942, from Ky. Stat.
sec. 1376kk-2.