

**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.