

**DISTRICT OF COLUMBIA**  
**OFFICIAL CODE**

**TITLE 3.**  
**DISTRICT OF COLUMBIA BOARDS AND**  
**COMMISSIONS.**

**CHAPTER 36.**  
**SECURITY AGENTS AND BROKERS.[REPEALED]**

**2001 Edition**

**DISTRICT OF COLUMBIA OFFICIAL CODE**  
**CHAPTER 36. SECURITY AGENTS AND**  
**BROKERS.[REPEALED]**

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# **CHAPTER 36. SECURITY AGENTS AND BROKERS.[REPEALED]**

## **§ 3-3601. DEFINITIONS.[REPEALED]**

(Aug. 30, 1964, 78 Stat. 620, Pub. L. 88-503, § 2; May 21, 1997, D.C. Law 11-268, § 10(a)(1), 44 DCR 1730; Oct. 26, 2000, D.C. Law 13-203, § 804(a), 47 DCR 7837.)

### *HISTORICAL AND STATUTORY NOTES*

#### *Prior Codifications*

1981 Ed., § 2-2601.

1973 Ed., § 2-2401.

#### *Legislative History of Laws*

Law 11-268, the "Department of Insurance and Securities Regulation Establishment Act of 1996," was introduced in Council and assigned Bill No. 11- 415, which was referred to the Committee on Consumer and Regulatory Affairs. The Bill was adopted on first and second readings on November 7, 1996, and December 3, 1996, respectively. Signed by the Mayor on December 30, 1996, it was assigned Act No. 11-524 and transmitted to both Houses of Congress for its review. D.C. Law 11-268 became effective on May 21, 1997.

Law 13-203, the "Securities Act of 2000," was introduced in Council and assigned Bill No. 13-678, which was referred to the Committee on Consumer and Regulatory Affairs. The Bill was adopted on first and second readings on June 26, 2000, and July 11, 2000, respectively. Signed by the Mayor on August 11, 2000, it was assigned Act No. 13-436 and transmitted to both Houses of Congress for its review. D.C. Law 13-203 became effective on October 26, 2000.

## **§ 3-3602. FRAUDULENT ACTS UNLAWFUL.[REPEALED]**

(Aug. 30, 1964, 78 Stat. 623, Pub. L. 88-503, § 32; Oct. 26, 2000, D.C. Law 13-203, § 804(a), 47 DCR 7837.)

### *HISTORICAL AND STATUTORY NOTES*

#### *Prior Codifications*

1981 Ed., § 2-2602.

1973 Ed., § 2-2402.

#### *Legislative History of Laws*

Law 13-203, the "Securities Act of 2000," was introduced in Council and assigned Bill No. 13-678, which was referred to the Committee on Consumer and Regulatory Affairs. The Bill was adopted on first and second readings on June 26, 2000, and July 11, 2000, respectively. Signed by the Mayor on August 11, 2000, it was assigned Act No. 13-436 and transmitted to both Houses of Congress for its review. D.C. Law 13-203 became effective on October 26, 2000.

## **§ 3-3603. LICENSE--REQUIRED; EXPIRATION.[REPEALED]**

(Aug. 30, 1964, 78 Stat. 623, Pub. L. 88-503, § 4; Oct. 26, 2000, D.C. Law 13-203, § 804(a), 47 DCR 7837.)

### *HISTORICAL AND STATUTORY NOTES*

#### *Prior Codifications*

1981 Ed., § 2-2603.

1973 Ed., § 2-2403.

*Legislative History of Laws*

Law 13-203, the "Securities Act of 2000," was introduced in Council and assigned Bill No. 13-678, which was referred to the Committee on Consumer and Regulatory Affairs. The Bill was adopted on first and second readings on June 26, 2000, and July 11, 2000, respectively. Signed by the Mayor on August 11, 2000, it was assigned Act No. 13-436 and transmitted to both Houses of Congress for its review. D.C. Law 13-203 became effective on October 26, 2000.

**§ 3-3604. LICENSE--APPLICATION; FEES; NET CAPITAL REQUIREMENTS; BOND; RENEWAL.[REPEALED]**

(Aug. 30, 1964, 78 Stat. 625, Pub. L. 88-503, § 5; Mar. 5, 1981, D.C. Law 3-133, § 2(a)-(e), 27 DCR 4417; May 21, 1997, D.C. Law 11-268, § 10(a)(2), 44 DCR 1730; Oct. 26, 2000, D.C. Law 13-203, § 804(a), 47 DCR 7837.)

*HISTORICAL AND STATUTORY NOTES*

*Prior Codifications*

1981 Ed., § 2-2604.

1973 Ed., § 2-2404.

*Legislative History of Laws*

For legislative history of D.C. Law 3-133, see Historical and Statutory Notes following § 3-3614.

For legislative history of D.C. Law 11-268, see Historical and Statutory Notes following § 3-3601.

Law 13-203, the "Securities Act of 2000," was introduced in Council and assigned Bill No. 13-678, which was referred to the Committee on Consumer and Regulatory Affairs. The Bill was adopted on first and second readings on June 26, 2000, and July 11, 2000, respectively. Signed by the Mayor on August 11, 2000, it was assigned Act No. 13-436 and transmitted to both Houses of Congress for its review. D.C. Law 13-203 became effective on October 26, 2000.

**§ 3-3605. UNLAWFUL REPRESENTATIONS.[REPEALED]**

(Aug. 30, 1964, 78 Stat. 625, Pub. L. 88-503, § 6; May 21, 1997, D.C. Law 11-268, § 10(a)(2), 44 DCR 1730; Oct. 26, 2000, D.C. Law 13-203, § 804(a), 47 DCR 7837.)

*HISTORICAL AND STATUTORY NOTES*

*Prior Codifications*

1981 Ed., § 2-2605.

1973 Ed., § 2-2405.

*Legislative History of Laws*

For legislative history of D.C. Law 11-268, see Historical and Statutory Notes following § 3-3601.

Law 13-203, the "Securities Act of 2000," was introduced in Council and assigned Bill No. 13-678, which was referred to the Committee on Consumer and Regulatory Affairs. The Bill was adopted on first and second readings on June 26, 2000, and July 11, 2000, respectively. Signed by the Mayor on August 11, 2000, it was assigned Act No. 13-436 and transmitted to both Houses of Congress for its review. D.C. Law 13-203 became effective on October 26, 2000.

**§ 3-3606. RECORDS; REPORTS.[REPEALED]**

(Aug. 30, 1964, 78 Stat. 625, Pub. L. 88-503, § 7; May 21, 1997, D.C. Law 11-268, § 10(a)(2), 44 DCR 1730; Mar. 24, 1998, D.C. Law 12-81, § 5(a), 45 DCR 745; Oct. 26, 2000, D.C. Law 13-203, § 804(a), 47 DCR 7837.)

*HISTORICAL AND STATUTORY NOTES*

*Prior Codifications*

1981 Ed., § 2-2606.

1973 Ed., § 2-2406.

For legislative history of D.C. Law 11-268, see Historical and Statutory Notes following § 3-3601.

Law 12-81, the "Technical Amendments Act of 1998," was introduced in Council and assigned Bill No. 12-408, which was referred to the Committee of the Whole. The Bill was adopted on first and second readings on November 4, 1997, and December 4, 1997, respectively. Signed by the Mayor on December 22, 1997, it was assigned Act No. 12-246 and transmitted to both Houses of Congress for its review. D.C. Law 12-81 became effective on March 24, 1998.

Law 13-203, the "Securities Act of 2000," was introduced in Council and assigned Bill No. 13-678, which was referred to the Committee on Consumer and Regulatory Affairs. The Bill was adopted on first and second readings on June 26, 2000, and July 11, 2000, respectively. Signed by the Mayor on August 11, 2000, it was assigned Act No. 13-436 and transmitted to both Houses of Congress for its review. D.C. Law 13-203 became effective on October 26, 2000.

### **§ 3-3607. FILING OF SALES AND ADVERTISING LITERATURE.[REPEALED]**

(Aug. 30, 1964, 78 Stat. 625, Pub. L. 88-503, § 8; May 21, 1997, D.C. Law 11-268, § 10(a)(2), 44 DCR 1730; Oct. 26, 2000, D.C. Law 13-203, § 804(a), 47 DCR 7837.)

#### *HISTORICAL AND STATUTORY NOTES*

##### *Prior Codifications*

1981 Ed., § 2-2607.

1973 Ed., § 2-2407.

##### *Legislative History of Laws*

For legislative history of D.C. Law 11-268, see Historical and Statutory Notes following § 3-3601.

Law 13-203, the "Securities Act of 2000," was introduced in Council and assigned Bill No. 13-678, which was referred to the Committee on Consumer and Regulatory Affairs. The Bill was adopted on first and second readings on June 26, 2000, and July 11, 2000, respectively. Signed by the Mayor on August 11, 2000, it was assigned Act No. 13-436 and transmitted to both Houses of Congress for its review. D.C. Law 13-203 became effective on October 26, 2000.

### **§ 3-3608. FALSE OR MISLEADING FILINGS.[REPEALED]**

(Aug. 30, 1964, 78 Stat. 626, Pub. L. 88-503, § 9; May 21, 1997, D.C. Law 11-268, § 10(a)(2), 44 DCR 1730; Oct. 26, 2000, D.C. Law 13-203, § 804(a), 47 DCR 7837.)

#### *HISTORICAL AND STATUTORY NOTES*

##### *Prior Codifications*

1981 Ed., § 2-2608.

1973 Ed., § 2-2408.

##### *Legislative History of Laws*

For legislative history of D.C. Law 11-268, see Historical and Statutory Notes following § 3-3601.

Law 13-203, the "Securities Act of 2000," was introduced in Council and assigned Bill No. 13-678, which was referred to the Committee on Consumer and Regulatory Affairs. The Bill was adopted on first and second readings on June 26, 2000, and July 11, 2000, respectively. Signed by the Mayor on August 11, 2000, it was assigned Act No. 13-436 and transmitted to both Houses of Congress for its review. D.C. Law 13-203 became effective on October 26, 2000.

### **§ 3-3609. DENIAL, REVOCATION, SUSPENSION, CANCELLATION, AND WITHDRAWAL OF LICENSE.[REPEALED]**

(Aug. 30, 1964, 78 Stat. 626, Pub. L. 88-503, § 10; May 21, 1997, D.C. Law 11-268, § 10(a)(2), 44 DCR 1730; Mar. 24, 1998, D.C. Law 12-81, § 5(b), 45 DCR 745; Oct. 26, 2000, D.C. Law 13-203, § 804(a), 47 DCR 7837.)

#### *HISTORICAL AND STATUTORY NOTES*

##### *Prior Codifications*

1981 Ed., § 2-2609.

1973 Ed., § 2-2409.

*Legislative History of Laws*

For legislative history of D.C. Law 11-268, see Historical and Statutory Notes following § 3-3601.

For legislative history of D.C. Law 12-81 See note in § 3-3606.

Law 13-203, the "Securities Act of 2000," was introduced in Council and assigned Bill No. 13-678, which was referred to the Committee on Consumer and Regulatory Affairs. The Bill was adopted on first and second readings on June 26, 2000, and July 11, 2000, respectively. Signed by the Mayor on August 11, 2000, it was assigned Act No. 13-436 and transmitted to both Houses of Congress for its review. D.C. Law 13-203 became effective on October 26, 2000.

### **§ 3-3610. INVESTIGATIONS.[REPEALED]**

(Aug. 30, 1964, 78 Stat. 628, Pub. L. 88-503, § 11; July 29, 1970, 84 Stat. 571, Pub. L. 91-358, title I, § 155(c)(11)(A); May 21, 1997, D.C. Law 11-268, § 10(a)(2), 44 DCR 1730; Mar. 24, 1998, D.C. Law 12-81, § 5(c), 45 DCR 745; Oct. 26, 2000, D.C. Law 13-203, § 804(a), 47 DCR 7837.)

*HISTORICAL AND STATUTORY NOTES*

*Prior Codifications*

1981 Ed., § 2-2610.

1973 Ed., § 2-2410.

*Legislative History of Laws*

For legislative history of D.C. Law 11-268, see Historical and Statutory Notes following § 3-3601.

For legislative history of D.C. Law 12-81, see note to § 3-3606.

Law 13-203, the "Securities Act of 2000," was introduced in Council and assigned Bill No. 13-678, which was referred to the Committee on Consumer and Regulatory Affairs. The Bill was adopted on first and second readings on June 26, 2000, and July 11, 2000, respectively. Signed by the Mayor on August 11, 2000, it was assigned Act No. 13-436 and transmitted to both Houses of Congress for its review. D.C. Law 13-203 became effective on October 26, 2000.

### **§ 3-3611. INJUNCTIONS.[REPEALED]**

(Aug. 30, 1964, 78 Stat. 629, Pub. L. 88-503, § 12; July 29, 1970, 84 Stat. 571, Pub. L. 91-358, title I, § 155(c)(11) (B); May 21, 1997, D.C. Law 11-268, § 10(a)(2), 44 DCR 1730; Oct. 26, 2000, D.C. Law 13-203, § 804(a), 47 DCR 7837.)

*HISTORICAL AND STATUTORY NOTES*

*Prior Codifications*

1981 Ed., § 2-2611.

1973 Ed., § 2-2411.

*Legislative History of Laws*

For legislative history of D.C. Law 11-268, see Historical and Statutory Notes following § 3-3601.

Law 13-203, the "Securities Act of 2000," was introduced in Council and assigned Bill No. 13-678, which was referred to the Committee on Consumer and Regulatory Affairs. The Bill was adopted on first and second readings on June 26, 2000, and July 11, 2000, respectively. Signed by the Mayor on August 11, 2000, it was assigned Act No. 13-436 and transmitted to both Houses of Congress for its review. D.C. Law 13-203 became effective on October 26, 2000.

### **§ 3-3612. CRIMINAL PENALTIES.[REPEALED]**

(Aug. 30, 1964, 78 Stat. 629, Pub. L. 88-503, § 13; Oct. 26, 2000, D.C. Law 13-203, § 804(a), 47 DCR 7837.)

*HISTORICAL AND STATUTORY NOTES*

*Prior Codifications*

1981 Ed., § 2-2612.

1973 Ed., § 2-2412.

*Legislative History of Laws*

Law 13-203, the "Securities Act of 2000," was introduced in Council and assigned Bill No. 13-678, which was referred to the Committee on Consumer and Regulatory Affairs. The Bill was adopted on first and second readings on June 26, 2000, and July 11, 2000, respectively. Signed by the Mayor on August 11, 2000, it was assigned Act No. 13-436 and transmitted to both Houses of Congress for its review. D.C. Law 13-203 became effective on October 26, 2000.

### **§ 3-3613. CIVIL LIABILITIES.[REPEALED]**

(Aug. 30, 1964, 78 Stat. 629, Pub. L. 88-503, § 14; Oct. 26, 2000, D.C. Law 13-203, § 804(a), 47 DCR 7837.)

*HISTORICAL AND STATUTORY NOTES*

*Prior Codifications*

1981 Ed., § 2-2613.

1973 Ed., § 2-2413.

*Legislative History of Laws*

Law 13-203, the "Securities Act of 2000," was introduced in Council and assigned Bill No. 13-678, which was referred to the Committee on Consumer and Regulatory Affairs. The Bill was adopted on first and second readings on June 26, 2000, and July 11, 2000, respectively. Signed by the Mayor on August 11, 2000, it was assigned Act No. 13-436 and transmitted to both Houses of Congress for its review. D.C. Law 13-203 became effective on October 26, 2000.

### **§ 3-3614. CIVIL PENALTIES.[REPEALED]**

(Mar. 5, 1981, D.C. Law 3-133, § 2(f), 27 DCR 4417; Oct. 5, 1985, D.C. Law 6-42, § 407, 32 DCR 4450; May 21, 1997, D.C. Law 11-268, § 10, 44 DCR 1730; Oct. 26, 2000, D.C. Law 13-203, § 804(a), 47 DCR 7837.)

*HISTORICAL AND STATUTORY NOTES*

*Prior Codifications*

1981 Ed., § 2-2614.

*Legislative History of Laws*

Law 3-133, the "Securities Act Amendments, Personnel Act Clarification, and Voluntary Retirement Act of 1980," was introduced in Council and assigned Bill No. 3-273, which was referred to the Committee on Public Services and Consumer Affairs. The Bill was adopted on first and second readings on July 29, 1980, and September 16, 1980, respectively. Signed by the Mayor on October 2, 1980, it was assigned Act No. 3-254 and transmitted to both Houses of Congress for its review.

Law 6-42, the "Department of Consumer and Regulatory Affairs Civil Infractions Act of 1985," was introduced in Council and assigned Bill No. 6-187, which was referred to the Committee on Consumer and Regulatory Affairs. The Bill was adopted on first and second readings on June 25, 1985, and July 9, 1985, respectively. Signed by the Mayor on July 16, 1985, it was assigned Act No. 6-60 and transmitted to both Houses of Congress for its review.

For legislative history of D.C. Law 11-268, see Historical and Statutory Notes following § 3-3601.

Law 13-203, the "Securities Act of 2000," was introduced in Council and assigned Bill No. 13-678, which was referred to the Committee on Consumer and Regulatory Affairs. The Bill was adopted on first and second readings on June 26, 2000, and July 11, 2000, respectively. Signed by the Mayor on August 11, 2000, it was assigned Act No. 13-436 and transmitted to both Houses of Congress for its review. D.C. Law 13-203 became effective on October 26, 2000.

### **§ 3-3615. APPLICATION OF CHAPTER; SERVICE OF PROCESS.[REPEALED]**

(Aug. 30, 1964, 78 Stat. 630, Pub. L. 88-503, § 15; Mar. 5, 1981, D.C. Law 3-133, § 2(f), 27 DCR 4417; May 21, 1997, D.C. Law 11-268, § 10(a)(2), 44 DCR 1730; Mar. 24, 1998, D.C. Law 12-81, § 5(d), 45 DCR 745; Oct. 26, 2000, D.C. Law 13-203, § 804(a), 47 DCR 7837.)

*HISTORICAL AND STATUTORY NOTES*

*Prior Codifications*

1981 Ed., § 2-2615.

1973 Ed., § 2-2414.

*Legislative History of Laws*

For legislative history of D.C. Law 3-133, see Historical and Statutory Notes following § 3-3614.

For legislative history of D.C. Law 11-268, see Historical and Statutory Notes following § 3-3601.

For legislative history of D.C. Law 12-81, see note to § 3-3606.

Law 13-203, the "Securities Act of 2000," was introduced in Council and assigned Bill No. 13-678, which was referred to the Committee on Consumer and Regulatory Affairs. The Bill was adopted on first and second readings on June 26, 2000, and July 11, 2000, respectively. Signed by the Mayor on August 11, 2000, it was assigned Act No. 13-436 and transmitted to both Houses of Congress for its review. D.C. Law 13-203 became effective on October 26, 2000.

### **§ 3-3616. ADMINISTRATION OF CHAPTER.[REPEALED]**

(Aug. 30, 1964, 78 Stat. 632, Pub. L. 88-503, § 16; Mar. 3, 1979, D.C. Law 2-139, § 3205(f), 25 DCR 5740; June 14, 1980, D.C. Law 3-70, § 7(a), 27 DCR 1776; Mar. 5, 1981, D.C. Law 3-133, § 2(f), 27 DCR 4417; May 21, 1997, D.C. Law 11-268, § 10(a)(3), 44 DCR 1730; Oct. 26, 2000, D.C. Law 13-203, § 804(a), 47 DCR 7837.)

*HISTORICAL AND STATUTORY NOTES*

*Prior Codifications*

1981 Ed., § 2-2616.

1973 Ed., § 2-2415.

*Legislative History of Laws*

Law 2-139, the "District of Columbia Government Comprehensive Merit Personnel Act of 1978," was introduced in Council and assigned Bill No. 2-10, which was referred to the Committee on Government Operations. The Bill was adopted on first and second readings on October 17, 1978, and October 31, 1978, respectively. Signed by the Mayor on November 22, 1978, it was assigned Act No. 2-300 and transmitted to both Houses of Congress for its review.

Law 3-70, the "District of Columbia Fund Accounting Act of 1980," was introduced in Council and assigned Bill No. 3-197, which was referred to the Committee on Human Services. The Bill was adopted on first and second readings on March 18, 1980 and April 1, 1980, respectively. Signed by the Mayor on April 25, 1980, it was assigned Act No. 3-176 and transmitted to both Houses of Congress for its review.

For legislative history of D.C. Law 3-133, see Historical and Statutory Notes following § 3-3614.

For legislative history of D.C. Law 11-268, see Historical and Statutory Notes following § 3-3601.

Law 13-203, the "Securities Act of 2000," was introduced in Council and assigned Bill No. 13-678, which was referred to the Committee on Consumer and Regulatory Affairs. The Bill was adopted on first and second readings on June 26, 2000, and July 11, 2000, respectively. Signed by the Mayor on August 11, 2000, it was assigned Act No. 13-436 and transmitted to both Houses of Congress for its review. D.C. Law 13-203 became effective on October 26, 2000.

### **§ 3-3617. DISTRICT OF COLUMBIA SECURITIES ADVISORY COMMITTEE.[REPEALED]**

(Aug. 30, 1964, 78 Stat. 633, Pub. L. 88-503, § 18; Mar. 5, 1981, D.C. Law 3-133, § 2(f), 27 DCR 4417; May 21, 1997, D.C. Law 11-268, § 10(a)(4), 44 DCR 1730; Mar. 24, 1998, D.C. Law 12-81, § 5(e), 45 DCR 745; Oct. 26, 2000, D.C. Law 13-203, § 804(a), 47 DCR 7837.)

*HISTORICAL AND STATUTORY NOTES*

*Prior Codifications*

1981 Ed., § 2-2617.

1973 Ed., § 2-2416.

*Legislative History of Laws*

For legislative history of D.C. Law 3-133, see Historical and Statutory Notes following § 3-3614.

For legislative history of D.C. Law 11-268, see Historical and Statutory Notes following § 3-3601.



For legislative history of D.C. Law 12-81, see note to § 3-3606.

Law 13-203, the "Securities Act of 2000," was introduced in Council and assigned Bill No. 13-678, which was referred to the Committee on Consumer and Regulatory Affairs. The Bill was adopted on first and second readings on June 26, 2000, and July 11, 2000, respectively. Signed by the Mayor on August 11, 2000, it was assigned Act No. 13-436 and transmitted to both Houses of Congress for its review. D.C. Law 13-203 became effective on October 26, 2000.

*Change in Government*

This section originated at a time when local government powers were delegated to a Board of Commissioners of the District of Columbia (see Acts Relating to the Establishment of the District of Columbia and its Various Forms of Governmental Organization in Volume 1). Section 401 of Reorganization Plan No. 3 of 1967 (see Reorganization Plans in Volume 1) transferred all of the functions of the Board of Commissioners under this section to a single Commissioner. The District of Columbia Self-Government and Governmental Reorganization Act, 87 Stat. 818, § 711 (D.C. Code, § 1-207.11), abolished the District of Columbia Council and the Office of Commissioner of the District of Columbia. These branches of government were replaced by the Council of the District of Columbia and the Office of Mayor of the District of Columbia, respectively. Accordingly, and also pursuant to § 714(a) of such Act (D.C. Code, § 1-207.14(a)), appropriate changes in terminology were made in this section.

### **§ 3-3618. SEVERABILITY.[REPEALED]**

(Aug. 30, 1964, 78 Stat. 633, Pub. L. 88-503, § 19; Mar. 5, 1981, D.C. Law 3-133, § 2(f), 27 DCR 4417; Oct. 26, 2000, D.C. Law 13-203, § 804(a), 47 DCR 7837.)

*HISTORICAL AND STATUTORY NOTES*

*Prior Codifications*

1981 Ed., § 2-2618.

1973 Ed., § 2-2417.

*Legislative History of Laws*

For legislative history of D.C. Law 3-133, see Historical and Statutory Notes following § 3-3614.

Law 13-203, the "Securities Act of 2000," was introduced in Council and assigned Bill No. 13-678, which was referred to the Committee on Consumer and Regulatory Affairs. The Bill was adopted on first and second readings on June 26, 2000, and July 11, 2000, respectively. Signed by the Mayor on August 11, 2000, it was assigned Act No. 13-436 and transmitted to both Houses of Congress for its review. D.C. Law 13-203 became effective on October 26, 2000.

### **§ 3-3619. CHANGE OF NAME OF PUBLIC UTILITIES COMMISSION.[REPEALED]**

(Aug. 30, 1964, 78 Stat. 634, Pub. L. 88-503, § 21; Mar. 5, 1981, D.C. Law 3-133, § 2(f), 27 DCR 4417; Oct. 26, 2000, D.C. Law 13-203, § 804(a), 47 DCR 7837.)

*HISTORICAL AND STATUTORY NOTES*

*Prior Codifications*

1981 Ed., § 2-2619.

1973 Ed., § 2-2418.

*Legislative History of Laws*

For legislative history of D.C. Law 3-133, see Historical and Statutory Notes following § 3-3614.

Law 13-203, the "Securities Act of 2000," was introduced in Council and assigned Bill No. 13-678, which was referred to the Committee on Consumer and Regulatory Affairs. The Bill was adopted on first and second readings on June 26, 2000, and July 11, 2000, respectively. Signed by the Mayor on August 11, 2000, it was assigned Act No. 13-436 and transmitted to both Houses of Congress for its review. D.C. Law 13-203 became effective on October 26, 2000.