

292.325 Filing of prospectus, pamphlet, or other advertising communication by order of commissioner.

- (1) Except as otherwise provided in this section, the commissioner may by rule or order require the filing of any prospectus, pamphlet, circular, form letter, advertisement, or other sales literature, radio, television, or other advertising communication addressed or intended for distribution to prospective investors, including clients or prospective clients of an investment adviser, as part of a registered offering or as a part of an exemption offering required to be filed under KRS 292.415.
- (2) The provisions of this section shall not require a covered adviser to file with the commissioner any documents listed in subsection (1) of this section or any document, except a prospectus, relating to a covered security.

Effective: July 15, 2010

History: Amended 2010 Ky. Acts ch. 24, sec. 860, effective July 15, 2010. -- Amended 1998 Ky. Acts ch. 20, sec. 4, effective July 15, 1998. -- Amended 1994 Ky. Acts ch. 165, sec. 4, effective July 15, 1994. -- Amended 1980 Ky. Acts ch. 368, sec. 3, effective July 15, 1980. -- Created 1972 Ky. Acts ch. 265, sec. 18.