

# MAINE STATE LEGISLATURE

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L.D. 1123

(Filing No. H-143 )

STATE OF MAINE  
HOUSE OF REPRESENTATIVES  
112TH LEGISLATURE  
FIRST REGULAR SESSION

COMMITTEE AMENDMENT "A" to H.P. 793, L.D. 1123, Bill, "AN ACT to Require Full Disclosure by Financial Planners."

Amend the bill in that part designated "§9752." in subsection 2, by adding at the end a new paragraph to read:

"Financial planner" does not include employees of financial institutions authorized to do business in this State, as defined in Title 9-B, section 131, subsection 17-A.'

Further amend the bill in that part designated "§9753." in the 2nd line (page 2, line 21 in L.D.) by striking out the underlined words "offering his services" and inserting in their place the following: 'represents himself'

STATEMENT OF FACT

This amendment excludes from the provisions of the bill employees of financial institutions such as trust companies, savings banks, industrial banks and savings and loan associations.

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