

# Missouri State Archives

## Finding Aid 000.005

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### OFFICE OF THE SECRETARY OF STATE: SECURITIES

### STATE DOCUMENTS

*Abstract:* Published materials of the Missouri Secretary of State's Securities Division from 1957 to the present.

*Extent:* 6 Hollinger boxes totaling 2 cubic feet of records

*Physical Description:* Paper records.

*Location:* Missouri State Archives

### ADMINISTRATIVE INFORMATION

*Alternative Formats:* a few of these records have been digitized. This finding aid indicates when digital records are available.

*Access Restrictions:* No special restrictions.

*Publication Restrictions:* Copyright is in the public domain. Items reproduced for publication should carry the credit line: Courtesy of the Missouri State Archives.

*Preferred Citation:* [Item description], [date]; *Missouri Secretary of State State Documents Collection*, Record Group 000.005; Missouri State Archives, Jefferson City.

*Acquisition Information:* None.

*Processing Information:* Processing completed by EW on 04 January 2016.

### HISTORICAL NOTES

According to the 1967 Uniform Securities Act, a security is “any note; stock; treasury stock; bond; debenture; evidence of indebtedness; certificate of interest or participation in any profit-sharing agreement; transferable share; investment contract; voting-trust certificate; certificate of deposit for a security; certificate of interest or participation in an oil, gas, or mining title or lease.” (Laws of Missouri Vol. 1967 p. 626)

The Secretary of State, through the Securities Division, is responsible for protecting Missouri investors from fraud and for ensuring firms and individuals selling securities comply with the securities laws in the state. The Commissioner of Securities leads the Securities Division and enforces the Missouri Uniform Securities Act.

Securities laws were begun in the United States after the first one was passed in Kansas in 1911. Missouri's act, "commonly known as the 'blue sky law' was enacted in 1913, being substantially a copy of the Kansas statute at that time. No suits have been instituted against it in any of the courts of this state, but the Michigan, Ohio and South Dakota laws, which are very similar to the Missouri act, were in January, 1917, declared constitutional by the Supreme Court of the United States, Vol. 242, U. S. Reports, pages 539 to 568." (Revised Statutes of Missouri 1919 Vol. III p. 3757 section 11919)

The Securities Division is organized into three sections: Investor Education, Enforcement, and Registration.

### Timeline

04/07/1913	Missouri's first major Blue Sky Law is passed with CSSB 78 & 79.
04/02/1923	HB236 is passed, which revises and updates the original Blue Sky Law.
08/11/1967	SB99, the "Uniform Securities Act," is passed and goes into effect on January 1, 1968.
05/08/2003	HB380 revamps Missouri's securities law. The act is called the Uniform Securities Act of 2002 and the Missouri Takeover Bid Disclosure Act.

### Historic Listing of Secretaries of State:

#### Territorial Secretaries:

- 0. Dr. Joseph Brown(e) 1812
- 0. Frederick Bates 1813-1820

#### Missouri Secretaries of State:

- 1. Joshua Barton 1820-1821
- 2. William Grymes Pettus 1821-1824
- 3. Hamilton Rowan Gamble 1824-1826
- 4. Spencer Darwin Pettis 1826-1828
- 5. Priestly Haggin McBride 1829-1830
- 6. John Cummins Edwards 1830-1835
- 7. Henry Shurlds 1835-1837
- 8. John Cummins Edwards 1837
- 9. Peter Garland Glover 1837-1839
- 10. James Lawrence Minor 1839-1845

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11. Faulkland Heard Martin	1845–1849
12. Ephraim Brevard Ewing	1849–1853
13. John M. Richardson	1853–1857
14. Benjamin Franklin Massey	1857–1861
15. Mordecai Oliver	1861–1865
16. Francis A. Rodman	1865–1871
17. Eugene F. Weigel	1871–1875
18. Michael Knowles McGrath	1875–1889
19. Alexander A. Lesueur	1889–1901
20. Sam Baker Cook	1901–1905
21. John Ephraim Swanger	1905–1909
22. Cornelius Roach	1909–1917
23. John Leo Sullivan	1917–1921
24. Charles U. Becker	1921–1933
25. Dwight H. Brown	1933–1944
26. Gregory C. Stockard	1944–1945
27. Wilson Bell	1945–1947
28. Edgar C. Nelson	1947–1949
29. Walter H. Toberman	1949–1960
30. Robert W. Crawford	1960–1961
31. Warren E. Hearnnes	1961–1965
32. James C. Kirkpatrick	1965–1985
33. Roy D. Blunt	1985–1993
34. Judith K. Moriarty	1993–1994
35. Richard Hanson	1994
36. Rebecca McDowell Cook	1994-2001
37. Matt Blunt	2001-2005
38. Robin Carnahan	2005-2013
39. Jason Kander	2013-2017
40. John “Jay” R. Ashcroft	2017-

## ADDITIONAL DESCRIPTIVE INFORMATION

### Bibliography

Laws of Missouri, various years  
Revised Statutes of Missouri, various years

## **Related Material**

Federal securities acts to include the Securities Act of 1933, the Securities Exchange Act of 1934, Public Utility Holding Company Act of 1935, and the Investment Company Act of 1940.

## **SERIES**

The records are broken down into the following series:

- Monthly Bulletin
- Securities Laws
- Securities Pamphlets
- Securities Educational Series

## MO SOS: SECURITIES DIVISION Monthly Bulletin, 1967-1991

*Extent:* Incomplete

*Arrangement:* Chronological

### Scope and Content

The Monthly Securities Bulletin was begun in August 1967 in anticipation of the new Uniform Securities Act that would become effective on January 1, 1968 per SB99. The Bulletin contains updates regarding legislative activity, recently registered securities, suspension orders, cancellations, criminal prosecutions, and cease & desist orders. It also includes laws setting current statutes and regulations in the State of Missouri taken from the Revised Statutes of the State of Missouri and the Code of State Regulations.

### Container List

Location	Box	Folder	Date	Contents/Title	Add'tl Description
28B/2/4	1	1	1967	<u>Monthly Securities Bulletin</u> , Aug. & Dec. 1967	
28B/2/4	1	2	1968	<u>Monthly Securities Bulletin</u> , Nov. & Dec. 1968	
28B/2/4	1	3	1969	<u>Monthly Securities Bulletin</u> , Jan.-Apr. 1969	
28B/2/4	1	4	1970	<u>Monthly Securities Bulletin</u> , Jan.-Apr., Jul.-Oct. & Dec. 1970	
28B/2/4	1	5	1971	<u>Monthly Securities Bulletin</u> , Jan.-Mar. & Jun.-Dec. 1971	
28B/2/4	1	6	1972	<u>Monthly Securities Bulletin</u> , Jan.-Dec. 1972	
28B/2/4	1	7	1973	<u>Monthly Securities Bulletin</u> , Apr.-Dec. 1973	
28B/2/4	1	8	1974	<u>Monthly Securities Bulletin</u> , Jan.-Dec. 1974	
28B/2/4	1	9	1975	<u>Monthly Securities Bulletin</u> , Jan.-Aug. & Oct.-Nov. 1975	
28B/2/4	1	10	1977	<u>Monthly Securities Bulletin</u> , Jan.-Dec. 1977	
28B/2/4	1	11	1978	<u>Monthly Securities Bulletin</u> , Jan.-Oct. & Dec. 1978	
28B/2/4	1	12	1979	<u>Monthly Securities Bulletin</u> , Jan.-Aug. & Oct.-Dec. 1979	
28B/2/4	2	1	1980	<u>Monthly Securities Bulletin</u> , Jan.-Sept. & Dec. 1980	
28B/2/4	2	2	1981	<u>Monthly Securities Bulletin</u> , Jan.-Dec. 1981	
28B/2/4	2	3	1982	<u>Monthly Securities Bulletin</u> , Jan.-Dec.	

				1982	
28B/2/4	2	4	1983	<u>Monthly Securities Bulletin</u> , Jan. & Mar.-Dec. 1983	
28B/2/4	2	5	1984	<u>Monthly Securities Bulletin</u> , Jan.-Dec. 1984	
28B/2/4	2	6	1985	<u>Monthly Securities Bulletin</u> , Jan.-Dec. 1985	
28B/2/4	2	7	1986	<u>Monthly Securities Bulletin</u> , Jan.-Dec. 1986	
28B/2/4	2	8	1987	<u>Monthly Securities Bulletin</u> , Jan.-Dec. 1987	
28B/2/4	3	1	1988	<u>Monthly Securities Bulletin</u> , Jan.-Dec. 1988	
28B/2/4	3	2	1989	<u>Monthly Securities Bulletin</u> , Jan.-Dec. 1989	
28B/2/4	3	3	1990	<u>Monthly Securities Bulletin</u> , Jan.-Dec. 1990	
28B/2/4	3	4	1991	<u>Monthly Securities Bulletin</u> , Jan.-Jul. & Nov. 1991	2 copies

## MO SOS: SECURITIES DIVISION Securities Laws, 1957-2005

*Extent:* Incomplete

*Arrangement:* Chronological

### Scope and Content

The Securities Division publishes state code and regulations regarding securities laws for the general public.

### Container List

Location	Box	Folder	Date	Contents/Title	Add'tl Description
28B/2/4	4	1	1957	State of Missouri Securities Laws	
28B/2/4	4	2	1965	State of Missouri Securities Laws	
28B/2/4	4	3	1967	State of Missouri Securities Laws	
28B/2/4	4	4	1968	State of Missouri Securities Laws	
28B/2/4	4	5	1969	State of Missouri Securities Laws and Rules	
28B/2/4	4	6	1972	State of Missouri Securities Laws and Rules	
28B/2/4	4	7	1974	1974 Supplement to the Missouri Securities Laws and Rules 1972	2 copies
28B/2/4	4	8	1978	State of Missouri Securities Laws	2 copies
28B/2/4	4	9	1985	State of Missouri Securities Laws Code of Regulations	2 copies
28B/2/4	4	10	1990	Missouri Securities Laws 1990: Contains Chapter 409 Missouri Revised Statutes and Chapters 50-59 Missouri Code of Regulations Revised April 1, 1990	2 copies
28B/2/4	4	11	2001-2005	Agricultural Cooperative Associations and the Missouri Securities Laws	Matt Blunt's Term; 2 copies

## MO SOS: SECURITIES DIVISION Securities Pamphlets, 1985-2003

*Extent:* Incomplete

*Arrangement:* None

### Scope and Content

This series contains booklets, pamphlets, and articles concerning investor advice.

### Container List

Location	Box	Folder	Date	Contents/Title	Add'l Description
28B/2/4	5	1	Aug. 1987; (no date); Dec. 2000	Raising Capital in Missouri: A Guide for Small Businesses	undated comes from Moriarty's Term; 2 copies of each
28B/2/4	5	2	(no date (RB)); (no date (JM))	Mutual Funds: A Guide for Beginning Investors	Roy Blunt & Moriarty's Terms; 2 copies each
28B/2/4	5	3	July 1985; (no date); Dec. 2000	How to Choose a Stockbroker: A Guide for Beginning Investors	undated comes from Moriarty's Term; 2 copies each
28B/2/4	5	4	Aug. 1985; (no date)	101 Questions to Ask before Investing: A Guide for Beginning Investors	undated comes from Moriarty's Term; 2 copies each
28B/2/4	5	5	(no date (RB)); (no date (JM)); Dec. 2000	How to Read a Prospectus: A Guide for Beginning Investors	undated come from Roy Blunt & Moriarty's Terms; 2 copies each
28B/2/4	5	6	Aug. 2001; Apr. 2002	Complying with Missouri Securities Laws: A Guide for Small Businesses (2 versions in English, 1 version in Bosnian)	2 copies each
28B/2/4	5	7	Aug. 1987	Complying with Missouri's Securities Laws: A Guide for Registered Representatives	2 copies
28B/2/4	5	8	(no date (RB)); (no date (JM))	Complying with Missouri's Securities Laws: A Guide for Investment Advisers/-ors	Roy Blunt & Moriarty's Terms; 2 copies of JM
28B/2/4	5	9	(no date (RB)); (no date (JM))	Missouri Securities Law: A Guide for Law Enforcement Officers	Roy Blunt & Moriarty's Terms; 2 copies each
28B/2/4	5	10	(no date (RB)); (no date (JM));	Your Securities Account: A Guide for Beginning Investors	undated come from Roy Blunt & Moriarty's Terms;



			Dec. 2000		2 copies of Dec. 2000
28B/2/4	5	11	(no date (RB)); (no date (JM)); Dec. 2000	Penny Stocks: A Guide for Beginning Investors	undated come from Roy Blunt & Moriarty's Terms; 2 copies of Dec. 2000 & RB
28B/2/4	5	12	(no date)	Missouri Issuer Registration: A Guide for Small Businesses	Moriarty's Term; 2 copies
28B/2/4	5	13	(no date); Dec. 2000	Senior Investors Bulletin: A Guide for Missouri's Older Investors	Undated comes from Cook's Term; 2 copies each
28B/2/4	5	14	Mar. 2003	Investment Tips: Don't Lose Your Money to Fraud (1 version in English, 1 version in Bosnian)	2 copies each
28B/2/4	5	15	Mar. 2003	Protect Your Nest Egg: Tips for Avoiding Investment Fraud	2 copies
28B/2/4	5	16	(no date)	Filing a Complaint with the Missouri Securities Division	Matt Blunt's Term; 2 copies
28B/2/4	5	17	Mar. 2003	A Seniors Guide: Tips for Avoiding Investment Fraud	2 copies
28B/2/4	5	18	(no date)	10 Tips for On-line Investors (1 version in English, 1 version in Bosnian)	Matt Blunt's Term; 2 copies each
28B/2/4	5	19	(no date)	How to Check Out Your Stockbroker or Brokerage Firm	Matt Blunt's Term; 2 copies
28B/2/4	5	20	(no date)	How to Protect Your Savings against Con Artist Hypnosis	Roy Blunt's Term; 2 copies
28B/2/4	5	21	(no date)	Missouri Uniform Securities Act: Information for Investors	Kirkpatrick's Term
28B/2/4	5	22	(no date)	Before You Invest, Ask Questions and Call Missouri's Investor Hotline a) large sticker & b) small magnet	Cook's Term
28B/2/4	5	23	(no date)	Securities Video Critique	2 copies
28B/2/4	5	24	Dec. 2010	Protecting Seniors and Their Life Savings: Policies and Practices of Missouri's Investment Firms	
28B/2/4	5	25	(no date)	Agricultural Cooperatives: A Guide to Complying with Missouri Securities Laws	Matt Blunt & Carnahan's Terms; 2 copies of Blunt's

## MO SOS: SECURITIES DIVISION Securities Educational Series, 1984-1995

*Extent:* Incomplete

*Arrangement:* None

### Scope and Content

This series contains educational publications concerning investments and securities.

### Container List

Location	Box	Folder	Date	Contents/Title	Add'l Description
28B/2/4	6	1	Mar. 1984	Investing... Questions and Answers: An Educational Publication of the Office of the Commissioner of Securities State of Wisconsin, reprinted by Roy D. Blunt, Missouri Secretary of State	2 copies
28B/2/4	6	2	Sept. 1995	Missouri Investor Education Series reprinted from the book "Making the Most of Your Money" Chapter 21 – Drawing Up Your Battle Plan by Jane Bryant Quinn	