Title 710 Securities Division

Notice of Intent to Adopt a Rule
LSA Document #XX-XXX

Under Ind. Code 4-22-2-23, the Indiana Securities Division intends to adopt a rule concerning the following:

OVERVIEW: Adds 710 IAC 5 ASSESSING FINES AND CIVIL PENALTIES which brings the Indiana Securities Division in conformity with HEA 1623-2023. Adds 710 IAC 5-1 which establishes mitigating and aggravating factors for consideration when determining the amount to impose as a fine or civil penalty for violation of the Indiana Uniform Securities Act (Ind. Code 23-19). Adds 710 IAC 5-2 which establishes mitigating and aggravating factors for consideration when determining the amount to impose as a fine or civil penalty for violation of the Indiana Loan Brokers Act (Ind. Code 23-2.5). Adds 710 IAC 5-3 which establishes mitigating and aggravating factors for consideration when determining the amount to impose as a fine or civil penalty for violation of the Indiana Franchises Act (Ind. Code 23-2-2.5). Adds 710 IAC 5-4 which establishes mitigating and aggravating factors for consideration when determining the amount to impose as a fine or civil penalty for violation of the Indiana Collection Agencies Act (Ind. Code 25-11). Adds 710 IAC 5-5 which establishes mitigating and aggravating factors for consideration when determining the amount to impose as a fine or civil penalty for violation of the Indiana Commodities Act (Ind. Code 23-2-6).