

TITLE 5: UNIFORM COMMERCIAL CODE
DIVISION 8: INVESTMENT SECURITIES

§ 8303. “Broker.”

“Broker” means a person engaged for all or part of his time in the business of buying and selling securities, who in the transaction concerned acts for, buys a security from, or sells a security to, a customer. Nothing in this division determines the capacity in which a person acts for purposes of any other statute or rule to which the person is subject.

Source: PL 3-56, § 1 (§ 8303).