Agency - Department of the Secretary of State

Comment Period - April 2, 2024 - June 3, 2024

Date Submitted to	APO - Filled in by R	RC staff										
Subchapter	Rule Section	Rule Citation	Rule Name	Date and Last Agency Action on the Rule	Agency Determination [150B- 21.3A(c)(1)a]	Required to Implement or Conform to Federal Regulation [150B- 21.3A(d1)]	Federal Regulation Citation	Public Comment Received [150B- 21.3A(c)(1)]	Agency Determination Following Public Comment [150B-21.3A(c)(1)]	RRC Determination of Public Comments [150B-21.3A(c)(2)	RRC Final Determination of Status of Rule for Report to APO [150B- 21.3A(c)(2)]	OAH Next Steps
SUBCHAPTER 06A – RECODIFIED RULES		18 NCAC 06A .1101	LOCATION AND HOURS	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .1102	PURPOSE	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .1104	DEFINITIONS	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select One
	SECTION .1200 EXEMPTIONS	18 NCAC 06A .1202	RECOGNIZED SECURITIES MANUALS	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .1203	INFORMATION FILED BY REGISTERED DEALER	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	Yes If yes, include the citation to the federal law	Securities Act of 1933; Securities Act of 1934, ss. 13, 14, 15	Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .1205	LIMITED OFFERINGS PURSUANT TO G.S. 78A 17(9)	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	Yes If yes, include the citation to the federal law	17 C.F.R. 230.504 and 17 C.F.R 230.505	Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .1206	LIMITED OFFERING EXEMPTION PURSUANT TO G.S. 78A 17(17)	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Unnecessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .1207	DISQUALIFICATIONS FROM RELIANCE UPON CERTAIN EXEMPTIONS	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .1208	TRANSACTIONS EXEMPT UNDER RULE .1206: FILING REQUIREMENTS	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Unnecessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .1209	NONPROFIT SECURITIES	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	Yes If yes, include the citation to the federal law	Philanthropy Protection Act of 1995, 15 U.S.C.S. § 80a-3a	Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .1210	SECURITIES EXCHGS/AUTO QUOTATION SYS APPROVED/ADMINISTRATO	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .1211	NOTICE FILING PROCEDURES FOR RULE 506 OFFERINGS	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	Yes If yes, include the citation to the federal law	Securities Act of 1933, s. 18(b)(4)(D)	Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .1212	NOTICE FILING PROCEDURES FOR OFFERINGS OF INVESTMENT COMPANY SECURITIES	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	Yes If yes, include the citation to the federal law	Securities Act of 1933, s. 18(b)(2)	Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .1213	TRANSACTIONAL EXEMPTION PURSUANT TO G.S. 78A 17(19)	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select One
	SECTION .1300 REGISTRATION OF SECURITIES	18 NCAC 06A .1301	REGISTRATION BY NOTIFICATION	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .1302	REGISTRATION BY COORDINATION	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .1303	REGISTRATION BY QUALIFICATION	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .1304	SECURITIES REGISTRATION AND FILING FEES	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select One

Agency - Department of the Secretary of State

Comment Period - April 2, 2024 - June 3, 2024

	April 2, 2024 - June	•										
Date Submitted to	APO - Filled in by R	RC staff										
Subchapter	Rule Section	Rule Citation	Rule Name	Date and Last Agency Action on the Rule	Agency Determination [150B- 21.3A(c)(1)a]	Required to Implement or Conform to Federal Regulation [150B-21.3A(d1)]	Federal Regulation Citation	Public Comment Received [150B- 21.3A(c)(1)]	Agency Determination Following Public Comment [150B-21.3A(c)(1)]	RRC Determination of Public Comments [150B-21.3A(c)(2)	RRC Final Determination of Status of Rule for Report to APO [150B- 21.3A(c)(2)]	OAH Next Steps
		18 NCAC 06A .1305	SPONSORSHIP BY DEALER	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .1306	CONFIRMATION OF REGISTRATION	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .1307	COMMISSIONS AND EXPENSES	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .1308	ADVERTISING	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .1310	OFFERING PRICE	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .1313	REGISTRATION OF DIRECT PARTICIPATION PROGRAM SECURITIES	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .1314	ESCROW AGREEMENTS	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .1315	NOTICE OF COMPLETION O OFFERING/FINAL SALES REPORT	F Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .1316	LEGENDS REQUIRED	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .1317	AMENDMENT OF FILINGS	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .1318	AUTOMATIC WITHDRAWAL OF APPLICATION FOR REGISTRATION	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .1319	REQUIRED DISCLOSURES: VIATICAL SETTLEMENT CONTRACTS	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .1320	VIATICAL SETTLEMENT CONTRACT SUITABILITY REQUIREMENTS	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select One
	SECTION .1400 - REGISTRATION OF DEALERS AND SALESMEN	18 NCAC 06A .1401	APPLICATION FOR REGISTRATION OF DEALERS	public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .1402	APPLICATION FOR REGISTRATION OF SALESMEN	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .1403	TERMINATION OF REGISTRATION OF DEALER	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .1404	CHANGE IN NAME OF DEALER	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .1405	DEALER MERGER/CONSOLIDATION/ CQUISITION/SUCCESSION	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select One

G.S. 150B-21.3A Report for 18 NCAC 06, Securities Division Agency - Department of the Secretary of State Comment Period - April 2, 2024 - June 3, 2024

Part		April 2, 2024 - Julie											
Section				Rule Name			to Federal Regulation [150B-		-			of Rule for Report to APO [150B-	OAH Next Steps
			18 NCAC 06A 1406	EXPIRATION AND RENEWAL	Pursuant to G.S. 150B-21.3A rule		21.37(01)]					21.5A(c)(2)]	
March Marc			10 110/10 00/112100										
Part						Necessary	No		Select One	Select One	Select One	Select One	Select One
Part					2016								
No.			18 NCAC 06A .1407										
The Control of Contr						Necessary	No		Select One	Select One	Select One	Select One	Select One
Process Proc				REGISTRATION		,							
March Marc	***************************************		10 NCAC OCA 1400	TERMINATION OF									
March Marc			16 NCAC 06A .1406										
ACCOUNT ACCO				SALLSIVIAN S REGISTRATION	-	Necessary	No		Select One	Select One	Select One	Select One	Select One
March Marc													
			18 NCAC 06A .1410	MINIMUM FINANCIAL	Pursuant to G.S. 150B-21.3A, rule		Vec						
Second				REQUIREMENTS FOR	is necessary without substantive	Nocossary			Soloct One	Soloct One	Salact One	Salast One	Salact One
Company				DEALERS	I.	Necessary		240.15c3-2, and 17 C.F.R. 240.15c3-	Select Offe	Select Offe	Select Offe	Select Offe	Select Offe
March Marc							Tederariaw	_3					
Company Comp			18 NCAC 06A .1411	I			Yes						
Section Sect					-	Necessary	If yes, include the citation to the	15 U.S.C. 780 and 17 C.F.R. 240 17a-	Select One	Select One	Select One	Select One	Select One
March Marc				DEALERS			federal law						
Company Comp			18 NCAC 06A .1412	FINANCIAI STATEMENTS									
Section Sect			10 110/10 00/111112	THO ATOM ESTATEMENTS									
March Marc					-	Necessary	•	17 C.F.R. 240.17a-5, 17 C.F.R. 240.17	7 Select One	Select One	Select One	Select One	Select One
Mindre M							federal law						
March Marc			18 NCAC 06A .1413		Pursuant to G.S. 150B-21.3A, rule								
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18 No. Co. Co. 1.420				PARTNERS/EXECUTIVE		Negaciani	No		Salast One	Salast One	Salast One	Salast One	Salact One
18 No.C (09.4 137) 18 No.C				OFFICERS/DIRECTORS	public interest Eff. December 6,	Necessary	NO		Select One	Select Offe	Select Offe	Select Offe	Select Offe
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Sect One			18 NCAC 06A .1416										
Dec				OF DEALERS AND SALESMEN	,	Necessary	No		Select One	Select One	Select One	Select One	Select One
## PRICE CORD # 1997 CONTROL OF SUPPLY OF SUPP													
REGISTRATION OF DAMEN ASCENSING MICHANION SECURITY	***************************************		18 NCAC 06A .1417	APPLICATION FOR LIMITED									
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18 NCAC 06A .1502 APPLICATION TO EXCIMANG SCURITIES SCUR		PROVISIONS			1.	,							
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18 NCAC 06A .1504 REQUEST FOR INTERPRETATIVE OPINIONS: In necessary without substantive public interest Eff. December 6, 2016 18 NCAC 06A .1507 IMPUCATIONS OF EXEMPTION DISTRICT FOR INFORMATION INF					1.						23.230 3.10		55.555 5.15
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IS NCAC 06A .1507 IMPLICATIONS OF REGISTRATION OR EXEMPTION without substantive public interest Eff. December 6, 2016 IS NCAC 06A .1508 FAILURE TO FURNISH INFORMATION bis necessary without substantive public interest Eff. December 6, 2016 IS NCAC 06A .1510 UMITED LIABILITY COMPANY MEMBERSHIP INTERESTS AS SECURITIES SECURITIES SECURITIES INFORMATION SElect One Select On					I.								
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18 NCAC 06A .1510 LIMITED LIABILITY COMPANY MEMBERSHIP INTERESTS AS SECURITIES LIMITED LIABILITY COMPANY Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, Necessary					T.								
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Agency - Department of the Secretary of State

Comment Period - April 2, 2024 - June 3, 2024

1	APO - Filled in by RI	Juni				Required to Implement or Conform					RRC Final Determination of Status	
er	Rule Section	Rule Citation	Rule Name	Date and Last Agency Action on the Rule	Agency Determination [150B- 21.3A(c)(1)a]	to Federal Regulation [150B- 21.3A(d1)]	Federal Regulation Citation	Public Comment Received [150B- 21.3A(c)(1)]	Agency Determination Following Public Comment [150B-21.3A(c)(1)]	RRC Determination of Public Comments [150B-21.3A(c)(2)	of Rule for Report to APO [150B- 21.3A(c)(2)]	OAH Next Ste
F 1 4	SECTION .1700 REGISTRATION OF INVESTMENT ADVISERS AND INVESTMENT ADVISER	18 NCAC 06A .1701	DEFINITIONS	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select One
F	REPRESENTATIVES	18 NCAC 06A .1702	APPLICATION FOR INVESTMENT ADVISER REGISTRATION/NOTICE FILING FOR INVESTMENT ADVISER COVERED UNDER FEDERAL LAW	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	Yes If yes, include the citation to the federal law	17 C.F.R. 279.1	Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .1703	APPLICATION/INVESTMENT ADVISER REPRESENTATIVE REGISTRATION	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select On
		18 NCAC 06A .1704	MINIMUM FINANCIAL REQUIREMENTS FOR INVESTMENT ADVISERS	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select On
		18 NCAC 06A .1705	BONDING REQUIREMENTS FOR CERTAIN INVESTMENT ADVISERS	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select Or
		18 NCAC 06A .1706	RECORD KEEPING REQUIREMENTS FOR INVESTMENT ADVISERS	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	Yes If yes, include the citation to the federal law	Investment Company Act of 1940, s. 2(a)(9)	Select One	Select One	Select One	Select One	Select Or
		18 NCAC 06A .1707	INVESTMENT ADVISER BROCHURE RULE	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	Yes If yes, include the citation to the federal law	17 C.F.R. 279.1	Select One	Select One	Select One	Select One	Select O
		18 NCAC 06A .1708	FINANCIAL REPORTING REQUIREMENTS FOR INVESTMENT ADVISERS	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select O
		18 NCAC 06A .1709	EXAM REQUIRE/INVESTMENT ADVISERS: REPRESENTATIVE	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select O
		18 NCAC 06A .1710	TERMINATION/WITHDRAWA L/INVESTMENT ADVISER REGISTRATIONS	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select O
		18 NCAC 06A .1713	INVEST ADVISER MERGER/CONSOLIDATION/A CQUISITION/SUCCESSION	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select O
		18 NCAC 06A .1715	INVESTMENT ADVISER REGISTRATION DEPOSITORY	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select O
		18 NCAC 06A .1717	CASH PAYMENTS FOR CLIENT SOLICITATIONS	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	Yes If yes, include the citation to the federal law	Investment Company Act of 1940, ss. 203(e), 203(e) Paragraphs (1), (5) or (6) and 203(e)(2)(A)-(D)	Select One	Select One	Select One	Select One	Select O
r F I	MISCELLANEOUS PROVISIONS INVESTMENT ADVISERS	18 NCAC 06A .1801	DISHONEST OR UNETHICAL PRACTICES	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	Yes If yes, include the citation to the federal law	National Securities Markets Improvement Act of 1996; Investment Advisers Act of 1940, s. 215 and Rules 206(4) 1, 206(4) 2, 206(4) 2(b)	Select One	Select One	Select One	Select One	Select O
		18 NCAC 06A .1802	SECURITIES BY INVESTMENT ADVISERS	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	Yes If yes, include the citation to the federal law	Securities Exchange Act of 1934, s. 15, 17 C.F.R. 240.15c3-1	Select One	Select One	Select One	Select One	Select O
		18 NCAC 06A .1803	AGENCY CROSS TRANSACTIONS	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select O
		18 NCAC 06A .1804	EXEMPTION/SECTION 78C 8(A)(3)/CERTAIN BROKER DEALERS	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select O

Agency - Department of the Secretary of State

Comment Period - April 2, 2024 - June 3, 2024

Date Submitted to APO - Filled in by RRC staff

Date Submitted to	o APO - Filled in by R	RC staff										
Subchapter	Rule Section	Rule Citation	Rule Name	Date and Last Agency Action on the Rule	Agency Determination [150B- 21.3A(c)(1)a]	Required to Implement or Conform to Federal Regulation [150B-21.3A(d1)]	Federal Regulation Citation	Public Comment Received [150B- 21.3A(c)(1)]	Agency Determination Following Public Comment [150B-21.3A(c)(1)]	RRC Determination of Public Comments [150B-21.3A(c)(2)	RRC Final Determination of Status of Rule for Report to APO [150B- 21.3A(c)(2)]	OAH Next Steps
		18 NCAC 06A .1805	PERFORMANCE BASED COMPENSATION EXEMPTION	Pursuant to G.S. 150B-21.3A, rule Is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .1806	TRANSACTIONS DEEMED NOT TO BE ASSIGNMENTS	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .1807	REQUEST FOR INTERPRETATIVE OPINIONS	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .1808	SUPERVISION OF INVESTMENT ADVISER REPRESENTATIVES	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .1810	FORM OF CONSENT TO SERVICE OF PROCESS	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select One
	SECTION .2000 – INVEST NC EXEMPTION (CROWDFUNDING)	18 NCAC 06A .2001	PURPOSE	Eff. April 1, 2017	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2002	SCOPE	Eff. April 1, 2017	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2003	DEFINITIONS	Eff. April 1, 2017	Necessary	Yes If yes, include the citation to the federal law	Public Law 87-722 (12 U.S.C. 92a, Securities Act of 1933 s.3(a)(11), 15 U.S.C. § 77c(a)(11), 17 C.F.R. § 230.147.		Select One	Select One	Select One	Select One
		18 NCAC 06A .2004	EXEMPTION LIMITATIONS	Eff. April 1, 2017	Necessary	Yes If yes, include the citation to the federal law	Securities Act of 1933 s. 2(a)(15)(ii), 15 U.S.C. 77b(a)(15)(ii), 17 CFR 230.501, 17CFR 229,1101(c)	Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2005	COUNTING SALES	Eff. April 1, 2017	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2007	ISSUER FILING REQUIREMENTS	Eff. April 1, 2017	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2008	NOTICE OF INTRASTATE CLAIM OF EXEMPTION FORM REQUIREMENTS		Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2009	SIGNING FORM NCE	Eff. April 1, 2017	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2010	CONTENT OF DISCLOSURE DOCUMENT	Eff. April 1, 2017	Necessary	Yes If yes, include the citation to the federal law	17 CFR 230.147(f)(3), 17 CFR 230- 147A(f)(3)	Select One	Select One	Select One	Select One	Select One

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apter	Rule Section	Rule Citation	Rule Name	Date and Last Agency Action on the Rule	Agency Determination [150B- 21.3A(c)(1)a]	Required to Implement or Conform to Federal Regulation [150B-21.3A(d1)]	Federal Regulation Citation	Public Comment Received [150B- 21.3A(c)(1)]	Agency Determination Following Public Comment [150B-21.3A(c)(1)]	RRC Determination of Public Comments [150B-21.3A(c)(2)	RRC Final Determination of Status of Rule for Report to APO [150B-21.3A(c)(2)]	OAH Next Steps

G.S. 150B-21.3A Report for 18 NCAC 06, Securities Division Agency - Department of the Secretary of State Comment Period - April 2, 2024 - June 3, 2024

	April 2, 2024 - June											
Subchapter	APO - Filled in by F Rule Section	Rule Citation	Rule Name	Date and Last Agency Action on the Rule	Agency Determination [150B- 21.3A(c)(1)a]	Required to Implement or Conform to Federal Regulation [150B- 21.3A(d1)]	Federal Regulation Citation	Public Comment Received [150B- 21.3A(c)(1)]	Agency Determination Following Public Comment [150B-21.3A(c)(1)]	RRC Determination of Public Comments [150B-21.3A(c)(2)	RRC Final Determination of Status of Rule for Report to APO [150B- 21.3A(c)(2)]	OAH Next Steps
		18 NCAC 06A .2027	ESCROW AGENT REQUIREMENTS	Eff. April 1, 2017	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2028	TREATMENT OF INFORMATION	Eff. April 1, 2017	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2030	FUNDING PORTAL REGISTRATION	Eff. April 1, 2017	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2031	CONTENTS OF FORM NCFP	Eff. April 1, 2017	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2032	REQUIRED FUNDING PORTA ATTESTATIONS	L Eff. April 1, 2017	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2033		Eff. April 1, 2017	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2034	ADMINISTRATOR DENIAL OF REVOCATION OF FUNDING PORTAL REGISTRATION	R Eff. April 1, 2017	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2035	ADMINISTRATOR NOTICE OF EFFECTIVE FUNDING PORTA REGISTRATION	L	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2036	TO ADMINISTRATOR OF changes		Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2037	FUNDING PORTAL FINANCIA	AL Eff. April 1, 2017	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2038	FUNDING PORTAL DENIAL O ACCESS	PF Eff. April 1, 2017	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2039	FUNDING PORTAL STANDARDS OF CONDUCT	Eff. April 1, 2017	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2041	LIMITATIONS ON GENERAL SOLICITATION AND ADVERTISING	Eff. April 1, 2017	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2042		Eff. April 1, 2017 G	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2043		Eff. April 1, 2017	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2044	OTHER REQUIREMENTS FOR PERMITTED ADVERTISING NOTICES	Eff. April 1, 2017	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2045	ESTABLISHING A PLATFORM	Eff. April 1, 2017	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2046	INDIVIDUALS NOT SUBJECT TO DEALER REGISTRATION		Necessary	Yes If yes, include the citation to the federal law	17 CFR 240.3a4-1	Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2047	RETENTION OF PLATFORM COMMUNICATIONS		Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2048	ADMINISTRATION OF PLATFORM COMMUNICATION CHANNELS	Eff. April 1, 2017	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2049	ADDITIONAL COMMUNICATION CHANNE REQUIREMENTS	Eff. April 1, 2017	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2051	PROVIDING Documents TO PROSPECTIVE INVESTORS AND INVESTORS	Eff. April 1, 2017	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2052	MANNER OF PROVIDING DISCLOSURE AND OTHER DOCUMENTS TO A PROSPECTIVE INVESTOR OR AN INVESTOR	Eff. April 1, 2017	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2053	ISSUER SHALL REQUIRE INVESTOR ACTIONS INVESTOR CANCELLATION O	Eff. April 1, 2017	Necessary	No		Select One	Select One	Select One	Select One	Select One
			INVESTMENT COMMITMENT	Т	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2055	RELEASE OF FUNDS IN ESCROW ACCOUNT	Eff. April 1, 2017	Necessary	No		Select One	Select One	Select One	Select One	Select One

Agency - Department of the Secretary of State

Comment Period - April 2, 2024 - June 3, 2024

	- April 2, 2024 - June											
Subchapter	Rule Section	Rule Citation	Rule Name	Date and Last Agency Action on the Rule	Agency Determination [150B- 21.3A(c)(1)a]	Required to Implement or Conform to Federal Regulation [150B-21.3A(d1)]	Federal Regulation Citation	Public Comment Received [150B- 21.3A(c)(1)]	Agency Determination Following Public Comment [150B-21.3A(c)(1)]	RRC Determination of Public Comments [150B-21.3A(c)(2)	RRC Final Determination of Status of Rule for Report to APO [150B- 21.3A(c)(2)]	OAH Next Steps
		18 NCAC 06A .2056	ISSUER NOTICE TO	Eff. April 1, 2017		21.5A(u1)]					21.5A(t)(2)]	
		10 None 00/1/2000	INVESTORS MINIMUM OFFERING AMOUNT	Z, 7, 2017	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2057	REACHED QUARTERLY REPORTS	Eff. April 1, 2017								
***************************************					Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2058	OFFERING	Eff. April 1, 2017	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2060	REQUIREMENTS	Eff. April 1, 2017	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2061	FUNDING PORTAL RECORDKEEPING REQUIREMENTS	Eff. April 1, 2017	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2062	REQUIREMENT FOR RETENTION OF ORIGINAL OR EQUIVALENT	Eff. April 1, 2017	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2063	PROTECTION OF INVESTORS AGAINST FRAUD AND OTHER		Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2064	MISCONDUCT	Eff. April 1, 2017	·	Yes						
					Necessary	If yes, include the citation to the federal law	17 CFR 230.147, 17 CFR 230.152	Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2065	REQUEST FOR WAIVER	Eff. April 1, 2017	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2066	FACTORS ADMINISTRATOR MAY CONSIDER WITH REGARD TO WAIVER	Eff. April 1, 2017	Necessary	No		Select One	Select One	Select One	Select One	Select One
***************************************		18 NCAC 06A .2067	REQUESTS ADMINISTRATOR NOTICE OF	Eff. April 1, 2017								
			APPROVAL OR DENIAL OF A WAIVER		Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2068		Eff. April 1, 2017	Necessary	No		Select One	Select One	Select One	Select One	Select One
***************************************		18 NCAC 06A .2069		Eff. April 1, 2017	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2070	SIGNATURE VERIFIES INFORMATION IS TRUE	Eff. April 1, 2017	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2071	ADMINISTRATOR	Eff. April 1, 2017	Necessary	No		Select One	Select One	Select One	Select One	Select One
***************************************		18 NCAC 06A .2073		Eff. April 1, 2017	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2074	AMENDING A DOCUMENT FILED WITH THE ADMINISTRATOR	Eff. April 1, 2017	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2075	ABANDONMENT OR WITHDRAWAL OF FILING	Eff. April 1, 2017	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2076	CALCULATION OF TIME	Eff. April 1, 2017	Necessary	No		Select One	Select One	Select One	Select One	Select One
	SECTION .2100 – RULES FOR LOCAL PUBLIC OFFERINGS	18 NCAC 06A .2101	PURPOSE	Eff. April 1, 2017 to expire on April 1, 2026	Necessary	No		Select One	Select One	Select One	Select One	Select One
	(LPO)	18 NCAC 06A .2102	SCOPE	Eff. April 1, 2017 to expire on April								
		18 NCAC 06A .2103	DEFINITIONS	1, 2026 Eff. April 1, 2017 to expire on April	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2104	LPO LIMITATIONS	1, 2026 Eff. April 1, 2017 to expire on April	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2105		1, 2026 Eff. April 1, 2017 to expire on April	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2106		1, 2026 Eff. April 1, 2017 to expire on April	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2107	LPO	1, 2026 Eff. April 1, 2017 to expire on April	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2108	LPO ADDITIONAL LEGEND	1, 2026 Eff. April 1, 2017 to expire on April	Necessary	No		Select One	Select One	Select One	Select One	Select One
			REQUIREMENT FOR DISCLOSURE DOCUMENT	1, 2026	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2109		Eff. April 1, 2017 to expire on April 1, 2026	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2110	BY AN ISSUER OF AN LPO	•	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2111	1	Eff. April 1, 2017 to expire on April 1, 2026	Necessary	No		Select One	Select One	Select One	Select One	Select One
		18 NCAC 06A .2112	GENERAL SOLICITATION AND ADVERTISING FOR WHICH FILING IS REQUIRED	Eff. April 1, 2017 to expire on April 1, 2026	Necessary	No		Select One	Select One	Select One	Select One	Select One
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Subchapter	Rule Section	Rule Citation	Rule Name	Date and Last Agency Action on the Rule	Agency Determination [150B- 21.3A(c)(1)a]	Required to Implement or Conform to Federal Regulation [150B- 21.3A(d1)]	Federal Regulation Citation	Public Comment Received [150B- 21.3A(c)(1)]	Agency Determination Following Public Comment [150B-21.3A(c)(1)]	RRC Determination of Public Comments [150B-21.3A(c)(2)	RRC Final Determination of Status of Rule for Report to APO [150B- 21.3A(c)(2)]	OAH Next Steps	
		18 NCAC 06A .2113		Eff. April 1, 2017 to expire on April 1, 2026	Necessary	No		Select One	Select One	Select One	Select One	Select One	
		18 NCAC 06A .2114	UNACCEPTABLE GENERAL SOLICITATION AND ADVERTISING	Eff. April 1, 2017 to expire on April 1, 2026	Necessary	No		Select One	Select One	Select One	Select One	Select One	
		18 NCAC 06A .2115	ADMINISTRATOR ADVISORY REVIEW OF GENERAL SOLICITATION AND ADVERTISING MATERIALS	Eff. April 1, 2017 to expire on April 1, 2026	Necessary	No		Select One	Select One	Select One	Select One	Select One	
		18 NCAC 06A .2116	RECORDKEEPING REQUIREMENTS	Eff. April 1, 2017 to expire on April 1, 2026	Necessary	No		Select One	Select One	Select One	Select One	Select One	
		18 NCAC 06A .2117	PROHIBITED LPO ISSUER BUSINESSES	Eff. April 1, 2017 to expire on April 1, 2026	Necessary	No		Select One	Select One	Select One	Select One	Select One	
		18 NCAC 06A .2118	1	Eff. April 1, 2017 to expire on April 1, 2026	Necessary	No		Select One	Select One	Select One	Select One	Select One	
		18 NCAC 06A .2119	REVIEW OF THE ISSUER BUSINESS STRUCTURE	Eff. April 1, 2017 to expire on April 1, 2026	Necessary	No		Select One	Select One	Select One	Select One	Select One	
		18 NCAC 06A .2120	SUNSET PROVISION	Amended Eff. February 1, 2021	Necessary	No		Select One	Select One	Select One	Select One	Select One	
SUBCHAPTER 06B – GENERAL	SECTION .0100 - PURPOSE	18 NCAC 06B .0101	SCOPE	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select One	
		18 NCAC 06B .0102	ADMINISTRATION	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select One	
	SECTION .0200 – CONSOLIDATED RULES	18 NCAC 06B .0201	SENIOR DESIGNATION AS DISHONEST OR UNETHICAL PRACTICE	Amended Eff. October 1, 2019	Necessary	No		Select One	Select One	Select One	Select One	Select One	
SUBCHAPTER 06C – INVESTIGATIONS, ENFORCEMENT AND HEARINGS		18 NCAC 06C .0101	LETTER OF INQUIRY	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select One	
		18 NCAC 06C .0102	INVESTIGATIVE SUBPOENAS	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select One	
		18 NCAC 06C .0103	ADMINISTRATIVE HEARINGS	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select One	
		18 NCAC 06C .0104	SETTLEMENT	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select One	
		18 NCAC 06C .0105	ARTICLE 3A CONTESTED CASE PROCEDURES	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select One	
		18 NCAC 06C .0106	TEMPORARY ORDERS	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select One	
		18 NCAC 06C .0107	CONDUCT OF HEARING	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select One	
		18 NCAC 06C .0108	FINAL ORDER	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016	Necessary	No		Select One	Select One	Select One	Select One	Select One	