



Secretary of State
Elaine F. Marshall

North Carolina Secretary of State

IT

KB Website Manual

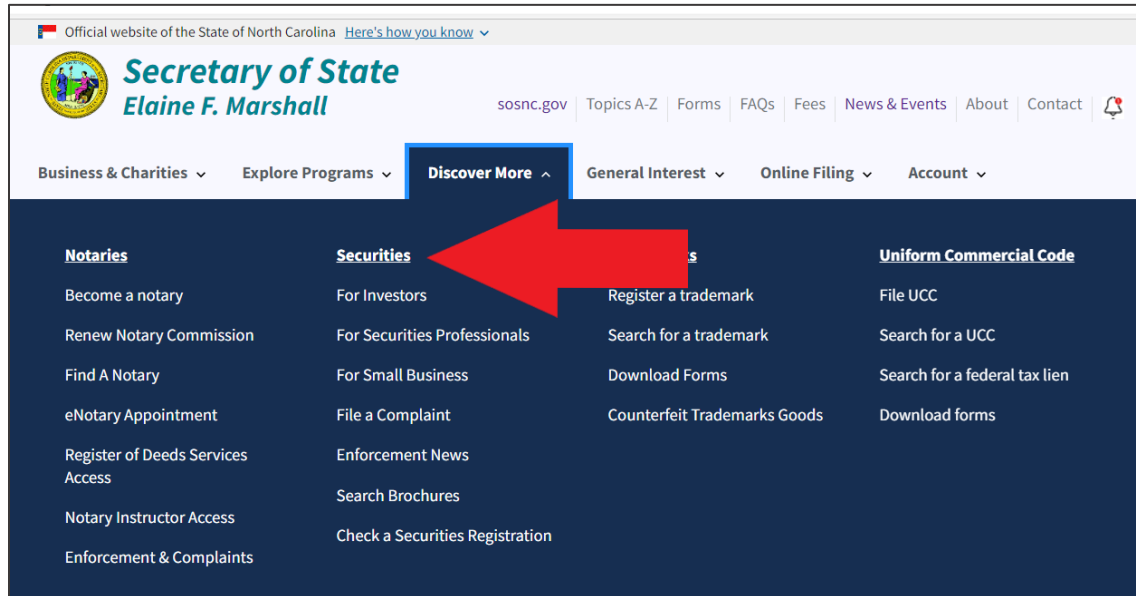
Securities Online Services

September 15, 2023

Version 1.0

About Securities Online Services Manual

This manual gives an overview of all of the pages and features of the **Securities** section of the new KB website.



The screenshot shows the official website of the State of North Carolina, Secretary of State Elaine F. Marshall. The top navigation bar includes the state logo, the Secretary's name, and links for 'sosnc.gov', 'Topics A-Z', 'Forms', 'FAQs', 'Fees', 'News & Events', 'About', and 'Contact'. Below this is a secondary navigation bar with 'Business & Charities', 'Explore Programs', 'Discover More', 'General Interest', 'Online Filing', and 'Account'. The 'Discover More' dropdown menu is open, displaying three columns of links: 'Notaries', 'Securities', and 'Uniform Commercial Code'. A large red arrow points to the 'Securities' column.

Notaries	Securities	Trademarks	Uniform Commercial Code
Become a notary	For Investors	Register a trademark	File UCC
Renew Notary Commission	For Securities Professionals	Search for a trademark	Search for a UCC
Find A Notary	For Small Business	Download Forms	Search for a federal tax lien
eNotary Appointment	File a Complaint	Counterfeit Trademarks Goods	Download forms
Register of Deeds Services Access	Enforcement News		
Notary Instructor Access	Search Brochures		
Enforcement & Complaints	Check a Securities Registration		

Table of Contents

About Securities Online Services Manual	1
Securities.....	2
Welcome	2
Browse Securities.....	2
About Us.....	3
Enforcement News.....	3
Check a Registration	3
File a Complaint	4
Crowdfunding	4
Browse Crowdfunding	4
Statutes and Rules	4
Forms	5
FAQs	5
Are You an Informed Investor? Crowdfunding.....	6
Small Business Advisory: Crowdfunding.....	6
Cryptocurrency and Investment	6
For Investors	6
For Securities Professionals	6
Statutes and Administrative Rules.....	6
News and Publications.....	7
Frequently Asked Questions.....	7
Athlete Agents	7
Request a Speaker	7
For Professionals and the Industry	8
BA's/BD's.....	8
Offerings.....	8
Compliance	8
For Investors	9
News and Publications.....	9
What We Do.....	9

Contact Securities	10
For Investors	10
For Seniors	11
For Military.....	12
For Teachers.....	12
For Securities Professionals	13
Dealers and Salesmen.....	13
Investment Advisers and Representatives	13
Insurance Agents.....	14
Registrations, Covered Securities, and Exemptions	14
Crowdfunding	16
Forms	16
For Small Business.....	18
File a Complaint	18
Enforcement News.....	19
Search Brochures	19
Check a Securities Registration.....	20

Securities Online Services

The Securities Division information and services can be found under the **Discover More** section of the NC Secretary of State (SOS) website.

Go to the SOS website <https://test.sosnc.gov/>.

Select **Discover More > Securities**.

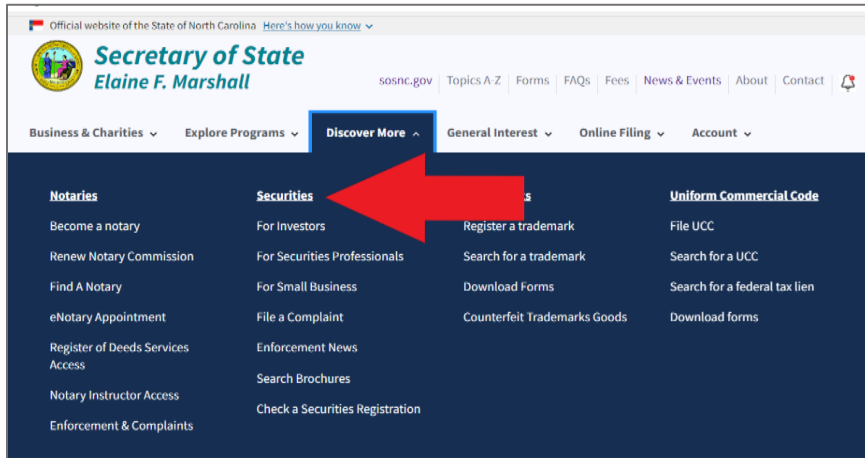


Figure 1. Other Divisions > Securities

This takes you to the main **Securities** page.

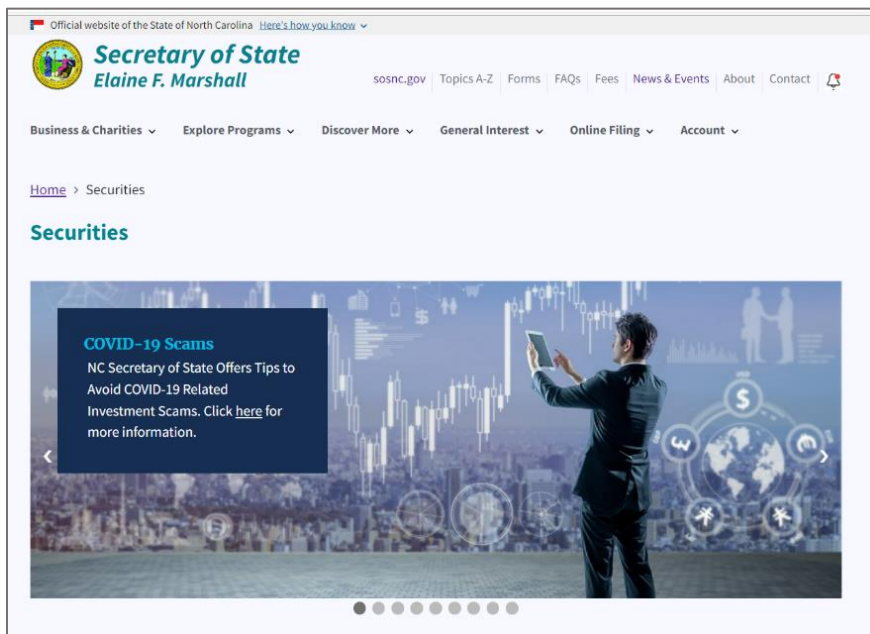


Figure 2. Securities page

Securities

This **Securities** page contains links and contact information for the Securities Division.

The first thing you notice is the large stock photo at the top.

Below the large stock image are four action buttons:

- [Check a Registration](#)
- [File a Complaint](#)
- [Request for a Speaker](#)
- [Calendar](#)

Welcome

Below that is a “Welcome to the Securities Division” section.

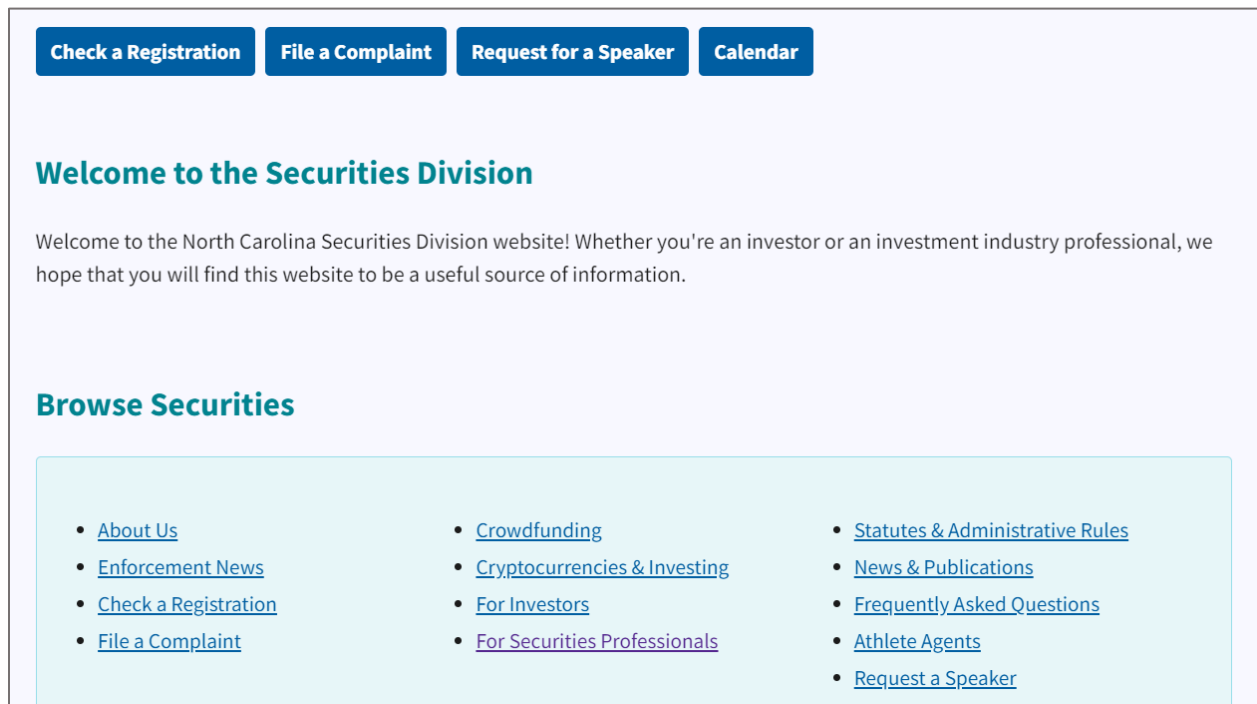


Figure 3. Welcome and browse links section

Browse Securities

Several links to key areas of the Security Division are under the Browse Securities section.

- [About Us](#)
- [Enforcement News](#)
- [Check a Registration](#)
- [File a Complaint](#)
- [Crowdfunding](#)
- [Cryptocurrencies and Investing](#)

- [For Investors](#)
- [For Securities Professionals](#)
- [Statutes and Administrative Rules](#)
- [News & Publications](#)
- [Frequently Asked Questions](#)
- [Athlete Agents](#)
- [Request a Speaker](#)

About Us

This page provides the Securities Division’s mission, overview, and more information.

<p>Home > Securities > About Us</p> <h3>About Us</h3> <h3>Mission</h3> <p>The North Carolina Department of the Secretary of State Securities Division's mission is to protect North Carolina investors. Consistent with that purpose, the Division seeks to ensure a free and competitive securities market for North Carolina, increase investor confidence, and thereby encourage the formation of capital and the creation of new jobs and economic prosperity in North Carolina.</p> <h3>Division Overview</h3> <p>The Securities Division is responsible for administering and enforcing the state’s securities laws. These laws provide for the registration of securities, registration of firms and individuals who sell securities or render investment advice, examination of registered firms, and enforcement through administrative, civil, and criminal actions.</p>	<p>Quick Links</p> <ul style="list-style-type: none"> About Us Athlete Agents Enforcement News Calendar of Events Check a Registration Continuing Education Crowdfunding Cryptocurrencies & Investing File a Complaint For Investors For Securities Professionals Frequently Asked Questions Forms Publications
--	--

Figure 4. About Us page

Enforcement News

This page gives the latest news about securities enforcement. See [Enforcement News](#)

Check a Registration

This takes you to the [Check a Registration](#) page where you find information about how to check if a financial professional is registered.

The Securities Division recommends that investors call our Investor Hotline at 919-814-5400 or 800-688-4507 and speak with a representative who can verify the registration status of investment professionals, firms and/or products. Investors should understand that there is no single registry for all professionals and offerings.

File a Complaint

This takes you to the [File a Complaint](#) page where you find downloadable and fillable forms for filing a securities complaint. Here, you find both the [online Securities Complaint Form](#) and the [PDF Securities Complaint Form](#).

Crowdfunding

This section is about North Carolina's own intrastate crowdfunding law, the NC PACES Act.

Crowdfunding

North Carolina has enacted its own intrastate crowdfunding law, the NC PACES Act. This new crowdfunding law offers an exemption if the offer or sale is conducted in accordance with specific guidelines.

- [Crowdfunding Information](#)
- [NC PACES Act](#)
- [Crowdfunding Rules](#)

Figure 5. Crowdfunding sections

Browse Crowdfunding

Under the **Browse Crowdfunding** section are five box image links:

- [Statutes and Rules](#)
- [Forms](#)
- [FAQS](#)
- [Are You an Informed Investor? Crowdfunding](#)
- [Small Business Advisory: Crowdfunding](#)

This section is followed by a **What We Do** section with the following:

The offer, sale, and purchase of securities are subject to a very complex system of regulation carried out by federal, state, and self-regulatory agencies. We administer and enforce North Carolina's securities laws, which are located in Chapters 78A, 78C and 78D of the North Carolina General Statutes. The intent of these laws is to protect the investing public by requiring a satisfactory investigation of both the people who offer securities as investments and of the securities themselves.

The Securities Division also addresses investor complaints concerning securities brokers and dealers, investment advisers and commodity dealers as well as complaints about offerings of particular investments.

Statutes and Rules

This takes you to the [NC Paces Act](#) page.

[Home](#) > [Securities](#) > North Carolina Paces Act

North Carolina Paces Act

The Final Adopted NC PACES Act Rules

The North Carolina Providing Access to Capital for Entrepreneurs and Small Business (NC PACES) Act was signed into law on July 22, 2016. The rules implementing the Act were adopted on March 31, 2017 and were filed with the NC Codifier of Rules on the same day. The rules became effective on April 1, 2017.

Click the following links to read the Act and the associated rules:

[The NC PACES Act \(Session Law 2016-103\)](#)
[18 NCAC 06A Section 2000, INVEST NC EXEMPTION \(CROWDFUNDING\)](#)
[18 NCAC 06A Section 2100, RULES FOR LOCAL PUBLIC OFFERINGS \(LPO\)](#)

[Return to top](#)

Figure 6. North Carolina Paces Act


Forms


The [Forms](#) page has several links to securities forms in PDF and Word formats.

[Home](#) > [Crowdfunding](#) > Forms

Forms

Updated Refund Policy
 Refund requests must be made within 45 consecutive days of receipt of funds and will only issued for amounts over \$10.00.

 [Notice of Intrastate Claim of Exemption and Addendum \(NCE-LPO\) \(PDF\)](#)
[Word Format](#)
 For securities offerings up to \$250,000
[Instructions](#)

 [Notice of Intrastate Claim of Exemption \(NCE\) \(PDF\)](#)
[Word Format](#)
 For securities offerings up to \$2 million
[Instructions](#)

Quick Links

- [About Us](#)
- [Athlete Agents](#)
- [Enforcement News](#)
- [Calendar of Events](#)
- [Check a Registration](#)
- [Continuing Education](#)
- [Crowdfunding](#)
- [Cryptocurrencies & Investing](#)
- [File a Complaint](#)
- [For Investors](#)
- [For Securities Professionals](#)
- [Frequently Asked Questions](#)
- [Forms](#)

Figure 7. Forms page

FAQs

The [FAQs](#) page has information and links to crowdfunding questions and answers.

[Home](#) > [Securities](#) > Crowdfunding FAQs

Crowdfunding FAQs

In the Frequently Asked Questions (FAQs), the Securities Division is providing guidance on the securities registration exemption permitted under the North Carolina PACES Act.

These FAQs are not rules or regulations. These FAQs are also not legal or investment advice.

You should carefully read the statute and the associated rules before trying to claim the NC Paces Act exemption for your securities offering or investing in a security that claims to be exempt under the NC Paces Act. You should consult with an attorney who specializes in securities matters if you have questions about interpreting the statutes or rules or if you need legal advice regarding a securities offering.

The Securities Division may update these questions and answers periodically.

[General FAQs](#)
[Issuer FAQs](#)
[Investor FAQs](#)
[Funding Portal FAQs](#)
[Escrow FAQs](#)
[How to file a Crowdfunding Document Online](#)

Quick Links

[Are You an Informed Investor? Crowdfunding](#)

[FAQs](#)

[Forms](#)

[Online Submission](#)

[Small Business Advisory: Crowdfunding](#)

[Statutes and Rules](#)

Figure 8. Crowdfunding FAQs

[Are You an Informed Investor? Crowdfunding](#)

This takes you to the [Are You an Informed Investor? Crowdfunding](#) page which is an online brochure.

[Small Business Advisory: Crowdfunding](#)

This takes you to the [Small Business Advisory: Crowdfunding](#) page which is the same Crowdfunding online brochure as in the **Are You an Informed Investor?** link above.

[Cryptocurrency and Investment](#)

This takes you to [Cryptocurrencies and Investing](#).

[For Investors](#)

See [For Investors](#)

[For Securities Professionals](#)

See [For Securities Professionals](#)

[Statutes and Administrative Rules](#)

This takes you to the [North Carolina Statutes and Administrative Rules](#) page which lists links and information about NC laws that pertain to securities.

[Home](#) > [Securities](#) > North Carolina Statutes and Administrative Rules

North Carolina Statutes and Administrative Rules

[North Carolina Securities Act](#) contains the state laws regarding the regulation of the securities industry in North Carolina. The Act provides for the registration of securities offered or sold in the state, and of dealers and salesmen who sell securities in the state, prohibits fraud in the offer or sale of securities in North Carolina, and provides for administrative, civil, and criminal sanctions for violations of its provisions.

The [North Carolina Investment Advisers Act](#) contains the state laws regarding the regulation of investment advisers and representatives who render investment advice in the state, prohibits fraud in the rendering of investment advice in the state, and provides for administrative, civil, and criminal sanctions for violations of its provisions.

[North Carolina Commodities Act](#) contains the state laws regarding the regulation of the commodities industry in North Carolina. It provides for the regulation of commodities and commodities sales in North Carolina as well as for administrative,

- About Us
- Athlete Agents
- Enforcement News
- Calendar of Events
- Check a Registration
- Continuing Education
- Crowdfunding
- Cryptocurrencies & Investing
- File a Complaint
- For Investors
- For Securities Professionals
- Frequently Asked Questions
- Forms

Figure 9. North Carolina Statutes and Administrative Rules page

News and Publications

This takes you to the [News and Publications \(sosnc.gov\)](#) page.

Frequently Asked Questions

The [Frequently Asked Questions](#) page has a list of questions and answers pertaining to securities and the Securities Division.

Athlete Agents

This takes you to the [Athlete Agent Registration Office \(sosnc.gov\)](#) page which is home to the Athlete Agent Registration Office under the NC Secretary of State's Office. The page has six box links and other information that is helpful for athlete agents in North Carolina.

The six box links are:

- [List of Athlete Agents](#)
- [FAQ for Athlete Agents](#)
- [Registration Requirements](#)
- [Recently Released Filings](#)
- [NC Uniform Athlete Agents Act](#)
- [Athlete Agent Registration Forms](#)

Request a Speaker

This takes you to an email link for SecDiv@sosnc.gov. This is the contact email for the Securities Division.

For Professionals and the Industry

BA's/BD's

Under BA's/BD's, brokers can select the [Check a Registration](#) link. This link takes them to the Check a Registration page.



Figure 10. BA/BD links

BA or BD: A broker-dealer (BD) is a firm who buys or sells securities for their own account or on behalf of customers. It's mostly used to describe stock brokerages. They act as both agents and principals. An individual who works for a firm like this is known as a broker-dealer agent. A stock brokerage acts as an agent or broker to execute orders on behalf of clients.

It's important as an investor to ensure that you're dealing with a reputable financial professional. The best way to do that is to [Check a Registration](#).

Sometimes, you may need to check more than one registration for an entity. If this is the case, it's best to call the Investor Hotline at (919) 814-5400 or (800) 688-4507. Our team can help you check all registrations for an individual or firm with whom you're about to invest.

Offerings

- [Check a Registration](#)
- [Crowdfunding](#)

Compliance

- [File a Complaint](#)
- [Cryptocurrencies and Investing](#)
- [For Securities Professionals](#)
- [Statutes and Administrative Rules](#)
- [Frequently Asked Questions](#)
- [Athlete Agents](#)

For Investors

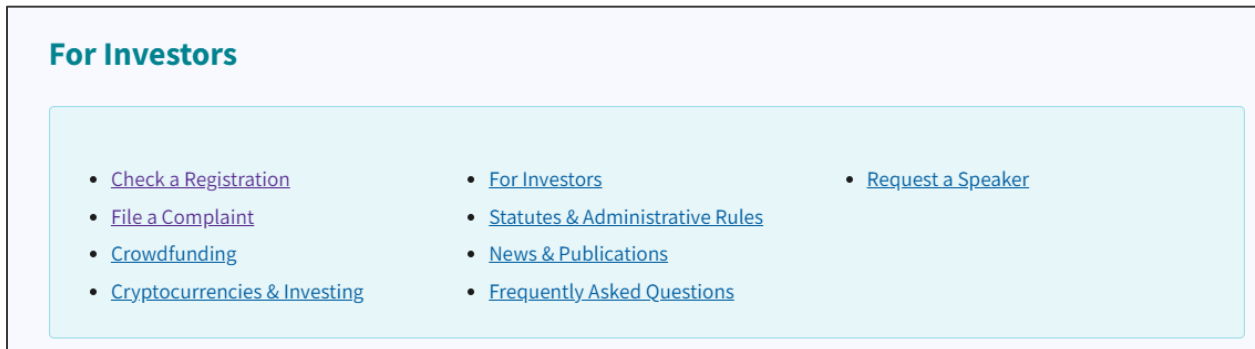


Figure 11. For Investors links

- [Check a Registration](#)
- [File a Complaint](#)
- [Crowdfunding](#)
- [Cryptocurrencies and Investing](#)
- [For Investors](#)
- [Statutes and Administrative Rules](#)
- [News and Publications](#)
- [Frequently Asked Questions](#)
- [Request a Speaker](#)

News and Publications

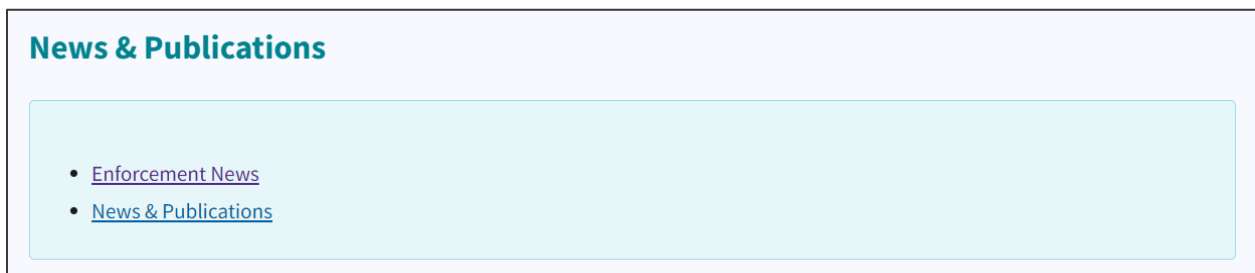


Figure 12. News and Publications links

- [Enforcement News](#)
- [News and Publications](#)

What We Do

This section gives a brief rundown of what the Securities Division does. The Securities Division administers and enforces NC's securities laws. This division also addresses investor complaints.

What We Do

The offer, sale, and purchase of securities are subject to a very complex system of regulation carried out by federal, state, and self-regulatory agencies. We administer and enforce North Carolina's securities laws, which are located in Chapters 78A, 78C and 78D of the North Carolina General Statutes. The intent of these laws is to protect the investing public by requiring a satisfactory investigation of both the people who offer securities as investments and of the securities themselves.

The Securities Division also addresses investor complaints concerning securities brokers and dealers, investment advisers and commodity dealers as well as complaints about offerings of particular investments.

Contact Securities

Mailing Address:

North Carolina Department of the
Secretary of State
Securities Division
Post Office Box 29622
Raleigh, North Carolina 27626-0622

Physical Address:

North Carolina Department of the
Secretary of State
Securities Division
Department of the Secretary of State
2 South Salisbury Street
Raleigh, North Carolina 27601

Telephone: [919-814-5400](tel:919-814-5400) or [800-688-4507](tel:800-688-4507)

Fax: 919-814-5596

Email: secdiv@sosnc.gov

Figure 13. What We Do and Contact sections

Contact Securities

Contact the Securities Division by email, phone, fax, postal mail, and on-site. The information is given at the bottom of the Securities web page. See **Figure 7**.

For Investors

Select **Discover More > For Investors**.

This takes you to the [For Investors](#) web page where you find helpful links and information for investors and seniors, military, teachers, and children.

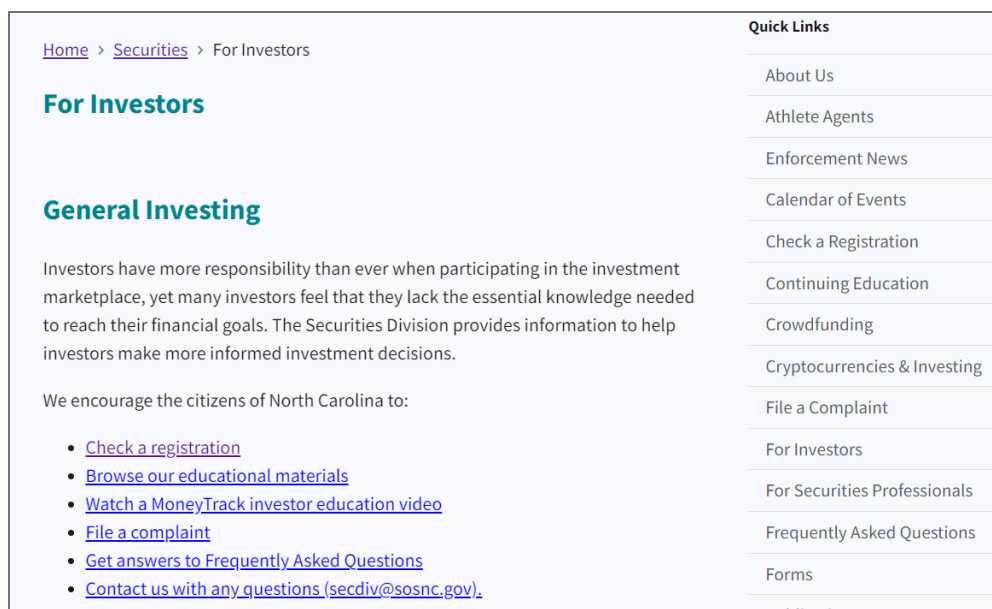


Figure 14. For Investors page

Many investors lack essential knowledge for reaching their financial goals. That’s why the Securities Division offers information to help investors make more informed investment decisions.

The following links are aimed at helping investors in NC:

- [Check Registration](#)
- [Browse Our Educational Materials](#)
- [Watch a MoneyTrack Investor Education Video](#)
- [File a Complaint](#)
- [Get Answers to Frequently Asked Questions](#)
- [Contact Us with Any Questions](#)

For Seniors

This section addresses the concerns of seniors in North Carolina. The risk of investment fraud perpetrated against seniors is an ever-growing threat for this population. The complexities of investing may affect some seniors. The Securities Division provides [free educational materials](#) through this website, including some designed specifically for seniors.

You can download a free booklet “[Maximize Your Retirement Investments](#)” which covers topics ranging from stock basics to mutual funds.

Also, a downloadable booklet “[Frauds Aimed at Senior Citizens](#)” highlights many of the common securities and investment schemes, focused specifically on the frauds that are most commonly perpetrated against seniors.

For Military

This section points military service members and veterans to helpful investment resources and fraud information.

Two downloadable booklets are available:

- [A Salute to Smart Investing](#)
- [The Financial Field Manual](#)

For Teachers

On this section of the **For Investors** page, you find downloadable handouts, booklets, and brochures that teachers can use for their own investment needs and for teaching personal financial literacy to students.

- [The Basics of Saving and Investing: Investor Education 2020](#)
Working link can be found here: [IPT Basics 2020.pdf \(wengine.com\)](#)
- [Kids and Money](#)

For Securities Professionals

Select **Discover More > For Securities Professionals**.

This takes you to the [For Securities Professionals \(sosnc.gov\)](https://sosnc.gov) page. See **Figure 9**.

Home > Securities > For Securities Professionals

For Securities Professionals

Dealers and Salesmen

Securities dealers and salesmen conducting business in North Carolina are subject to the [North Carolina Securities Act](#). Additional rules regarding the administration and enforcement of the Act are set forth in the [North Carolina Administrative Code](#).

- [Dealer Registration Requirements](#)
- [Salesman Registration Requirements](#)
- [Dealer/Salesmen FAQ](#)

Investment Advisers and Representatives

Investment advisers and investment adviser representatives conducting business in North Carolina are subject to the North Carolina Investment Advisers Act. Additional rules regarding the administration and enforcement of the Act are set forth in the North Carolina Administrative Code.

- [Cybersecurity Initiative](#)
- [Investment Adviser Resources \(NC SOS / US SEC\)](#)

Quick Links

- About Us
- Athlete Agents
- Enforcement News
- Calendar of Events
- Check a Registration
- Continuing Education
- Crowdfunding
- Cryptocurrencies & Investing
- File a Complaint
- For Investors
- For Securities Professionals
- Frequently Asked Questions
- Forms
- Publications
- RSS data
- Chrome Users install: RSS Feed Reader by feeder.co
- Securities Division Newsletter

Figure 15. For Securities Professionals page

Dealers and Salesmen

This section of the page has information about the North Carolina Securities Act and how it affects securities dealers and salesmen.

The following three links are provided for dealers and salesmen:

- [Dealer Registration Requirements](#)
- [Salesman Registration Requirements](#)
- [Dealer/Salesmen FAQ](#)

Investment Advisers and Representatives

This section of the **For Securities Professionals** page addresses investment advisers and investment adviser representatives in North Carolina. The advisers and representatives are subject to the North Carolina Investment Advisers Act.


<h2 style="color: #008080;">Investment Advisers and Representatives</h2> <p>Investment advisers and investment adviser representatives conducting business in North Carolina are subject to the North Carolina Investment Advisers Act. Additional rules regarding the administration and enforcement of the Act are set forth in the North Carolina Administrative Code.</p> <ul style="list-style-type: none"> • Cybersecurity Initiative • Investment Adviser Resources (NC SOS / US SEC) • Investment Adviser Resources (NASAA)  • Investment Adviser Registration Requirements • Investment Adviser Representative Registration Requirements • Investment Adviser/Representative FAQ <h2 style="color: #008080;">Insurance Agents</h2> <p>For insurance agents wishing to sell variable annuities, please ask the compliance officer of the broker-dealer firm with which you are employed to file a Form U-4 on your behalf. Once your securities registration has been approved, contact the North Carolina Department of Insurance at (855) 408-1212 and give them your CRD number and the effective date of your North Carolina securities registration. You must successfully pass the Series 63 exam to be a securities salesman.</p>	<ul style="list-style-type: none"> Frequently Asked Questions Forms Publications RSS data Chrome Users install: RSS Feed Reader by feeder.co Securities Division Newsletter Request a Speaker Statutes & Administrative Rules
--	---

Figure 16. Investment Advisers and Representatives/Insurance Agents sections

These 6 links are provided for investment advisers and investment adviser reps:

- [Cybersecurity Initiative](#)
- [Investment Adviser Resources \(NC SOS / US SEC\)](#)
- [Investment Adviser Registration Requirements \(NASAA\)](#)
- [Investment Adviser Representative Registration Requirements](#)
- [Investment Adviser/Representative FAQ](#)

Insurance Agents

This section is for insurance agents who sell variable annuities. They are directed to contact the North Carolina Department of Insurance (855) 408-1212 for information about filing a Form U-4 and securities registration approval.

Registrations, Covered Securities, and Exemptions

All securities offerings made in North Carolina must be registered with the NC Securities Division, according to the NC Securities Act. A notice filing is required for an offering falling under an exemption to registration. This is for the purpose of advising the Securities Division of the exemption. The issuer is responsible for proving entitlement to any claimed exemption.

Registrations, Covered Securities and Exemptions

The North Carolina Securities Act requires that any securities offering made in North Carolina be registered with the North Carolina Securities Division. If an offering falls under an exemption to registration, a notice filing is generally required in order to advise the Securities Division of the exemption. It is the responsibility of the issuer to prove entitlement to any claimed exemption. Click the header above for more information.

- Registration by coordination (See [N.C.G.S. § 78A-26 \(PDF\)](#) and [18 NCAC 06A .1302 \(PDF\)](#))
- Registration by qualification (See [N.C.G.S. § 78A-27 \(PDF\)](#) and [18 NCAC 06A .1303 \(PDF\)](#))
- Notice Filing for investment securities company (See [N.C.G.S. § 78A-31\(a\) \(PDF\)](#) and [18 NCAC 06A .1212 \(PDF\)](#))
- Notice Filing for Rule 506 transaction (See [N.C.G.S. § 78A-31\(b\) \(PDF\)](#) and [18 NCAC 06A .1211 \(PDF\)](#))
- Exemption notice for .1205(b) offering (See [N.C.G.S. § 78A-17\(9\) \(PDF\)](#) and [18 NCAC 06A .1205\(b\) \(PDF\)](#))
- Exemption notice for not-for-profit issuer (See [N.C.G.S. § 78A-16\(9\) \(PDF\)](#) and [18 NCAC 06A .1209 \(PDF\)](#))
- [Securities FAQ](#)

Figure 17. Registrations, Covered Securities, and Exemptions

For more information, click [Forms \(sosnc.gov\)](#).

- Registration by coordination (See [N.C.G.S. § 78A-26](#) and [18 NCAC 06A .1302](#))
- Registration by qualification (See [N.C.G.S. § 78A-27](#) and [18 NCAC 06A .1303](#))
- Notice Filing for investment securities company (See [N.C.G.S. § 78A-31\(a\)](#) and [18 NCAC 06A .1212](#))
- Notice Filing for Rule 506 transaction (See [N.C.G.S. § 78A-31\(b\)](#) and [18 NCAC 06A .1211](#))
- Exemption notice for .1205(b) offering (See [N.C.G.S. § 78A-17\(9\)](#) and [18 NCAC 06A .1205\(b\)](#))
- Exemption notice for not-for-profit issuer (See [N.C.G.S. § 78A-16\(9\)](#) and [18 NCAC 06A .1209](#))
- [Securities FAQ](#)

Crowdfunding

This section is about North Carolina's own intrastate crowdfunding law, the NC PACES Act.

Crowdfunding

North Carolina has enacted its own intrastate crowdfunding law, the NC PACES Act. This new crowdfunding law offers an exemption if the offer or sale is conducted in accordance with specific guidelines.

- [Crowdfunding Information](#)
- [NC PACES Act](#)
- [Crowdfunding Rules](#)

Figure 18. Crowdfunding sections

Three links of information are provided.

- [Crowdfunding Information](#)
- [NC PACES Act](#)
- [Crowdfunding Rules](#)

Forms

There is a list of links related to intrastate funding.

Forms

- [Notice of Intrastate Claim of Exemption and Addendum \(NCE-LPO\)](#)
- [Notice of Intrastate Claim of Exemption \(NCE\)](#)
- [North Carolina Intrastate Funding Portal \(NCFP\)](#)
- [Form BD](#)
- [Form ADV](#)
- [Form U1](#)
- [Form U2](#)
- [Form U2A](#)
- [Form U4](#)
- [Form D](#)
- [Form NF](#)
- [Regulation A – Tier 2](#)
- [Surety Bond Form](#)

Figure 19. Forms section

The thirteen links are:

- [Notice of Intrastate Claim of Exemption and Addendum \(NCE-LPO\)](#)
- [Notice of Intrastate Claim of Exemption \(NCE\)](#)
- [North Carolina Intrastate Funding Portal \(NCFP\)](#)
- [Form BD](#)
- [Form ADV](#)
- [Form U1](#)
- [Form U2](#)
- [Form U2A](#)
- [Form U4](#)
- [Form D](#)
- [Form NF](#)
- [Regulation A – Tier 2](#)
- [Surety Bond Form](#)

For Small Business

When you select **Discover More > For Small Business**, you land on the [Frequently Asked Questions](#) page. You can select the areas of interest for your search. The web page is interactive so the results of your search will quickly appear on screen.

[Home](#) > [Securities](#) > Frequently Asked Questions

Frequently Asked Questions

We provide this for informational purposes only. It does not constitute legal advice.

Select the Division:

Securities

Select the Topic:

General

I need to send materials to the Securities Division, what is the mailing address? +

What laws govern the offer, sale and purchase of securities? +

QUICK LINKS

- About Us
- Athlete Agents
- Enforcement News
- Calendar of Events
- Check a Registration
- Continuing Education
- Crowdfunding
- Cryptocurrencies & Investing
- File a Complaint
- For Investors
- For Securities Professionals
- Frequently Asked Questions
- Forms

Figure 20. Frequently Asked Questions page

File a Complaint

Select **Discover More > File a Complaint**. This takes you to the [Forms](#) page where they can find a collection of complaint forms.

[Home](#) > [Securities](#) > File a Complaint

File a Complaint

The North Carolina Securities Division examines investor complaints about securities industry professionals and securities offerings. To file a complaint, use our [Online Complaint Form](#) or print the [PDF Complaint Form](#) to submit it by fax 919-814-5596 or mail.

Please include as much information as possible in your complaint. Send copies; do not include originals of any documents you submit with your complaint. Documents submitted will not be returned. We will look into all alleged violations, but we cannot represent an investor in a claim for monetary damages. Any action the Division takes is to regulate and enforce North Carolina securities and investment adviser law on behalf of all North Carolinians.

QUICK LINKS

- About Us
- Athlete Agents
- Enforcement News
- Calendar of Events
- Check a Registration
- Continuing Education
- Crowdfunding
- Cryptocurrencies & Investing
- File a Complaint
- For Investors

Figure 21. File a Complaint

Enforcement News

Select **Discover More > Enforcement News**.

This takes you to the [Criminal Enforcement & Administrative Actions \(sosnc.gov\)](https://sosnc.gov) page.

Home > Securities > Criminal Enforcement & Administrative Actions

Criminal Enforcement & Administrative Actions

Latest Enforcement News

- **(2022-04-27)** Founders Of Fake "Hedge Fund," Austin Delano Page and Brandon Alexander Teague, Plead Guilty To Federal Charges For Orchestrating A \$4 Million Ponzi Scheme. For more information, see this [press release](#).
- **(2022-04-22)** Two Men, Marlin Hershey and Dana Bradley, Are Facing Federal Charges In Connection With Multi-Million Dollar Investment Scheme. Click [here](#) for details.
- **(2022-02-08)** Case Against Former Forsyth County Investment Adviser, Russell Joseph Mutter, Concludes with Guilty Plea, Lengthy Sentence. Click [here](#) for more details.
- **(2021-11-15)** Raleigh real estate developer, Joshua Matthew Houchins, 36, sentenced to a decade in prison for his role in a real estate Ponzi scheme and for firearm possession charges. See this [press release](#).
- **(2021-04-05)** Anthony Wayne March, 49, of Wake Forest, NC, was sentenced to

Quick Links

- About Us
- Athlete Agents
- Enforcement News
- Calendar of Events
- Check a Registration
- Continuing Education
- Crowdfunding
- Cryptocurrencies & Investing
- File a Complaint
- For Investors
- For Securities Professionals
- Frequently Asked Questions
- Forms
- Publications

Figure 22. Criminal Enforcement & Administrative Actions page

Search Brochures

Select **Discover More > Search Brochures**.

This takes you to the [Investor Education Booklets \(sosnc.gov\)](https://sosnc.gov) page where you find Investor Education booklets. See **Figure 17**.

Home > Securities > Investor Education Booklets

Investor Education Booklets

[Hard Copy Order Screen](#)

Please note: some of the following resources were originally printed with now outdated contact information for the Securities Division. Our website is www.sosnc.gov. Our telephone number is 919-814-5400 or 800-688-4507, and our fax number is 919-814-5596.

- [Frauds Aimed at Senior Citizens](#)
- [Unsuitable Investments](#)
- [Ten Do's And Don'ts for Investors](#)

Figure 23. Other Divisions > Search Brochures

Check a Securities Registration

Select **Discover More > Search Brochures**.

This takes you to the [Check a Registration \(sosnc.gov\)](https://sosnc.gov) page. Securities firms, stock brokerages, and investment advisers must be registered with the Securities Division to conduct business in North Carolina. See **Figure 18**.

Investors can visit this page to find out if a financial services professional is registered by the state.

Why is this registration important?

Registration protects investors from potentially fraudulent individuals who take advantage of investors.

Call (919) 814-5400 or (800) 688-4507 to speak with Securities staff. They can verify the registration status of investment professionals. There is no one-size-fits-all registration that covers insurance agent, stock broker, commodities dealer, and investment adviser, so it's best to call the Securities Division. They have the resources to check for all registrations.

<p>Home > Securities > Check a Registration</p> <h2>Check a Registration</h2> <p>Before you write a check to a financial services professional, always check their registration first!</p> <p>Most securities firms, stockbrokers, investment advisers, and investment adviser representatives must be registered with the Securities Division in order to conduct business in North Carolina. Make sure your financial professional is properly registered. It is perhaps the most important step you can take to protect yourself and your money from a potential scam.</p> <p>Financial services professionals often have impressive-sounding titles, or include lots of initials after their names. While some of these titles or designations accurately reflect the person's expertise, many are little more than marketing tools designed intentionally to convey the impression that the holder has more knowledge or experience than (s)he actually has. This can create confusion in the mind of an investor about the services the professional may provide and what their legal responsibilities to the investor are. For more information about these professionals, please see "Financial Services Providers."</p>	<h3>Quick Links</h3> <ul style="list-style-type: none">About UsAthlete AgentsEnforcement NewsCalendar of EventsCheck a RegistrationContinuing EducationCrowdfundingCryptocurrencies & InvestingFile a ComplaintFor InvestorsFor Securities ProfessionalsFrequently Asked QuestionsFormsPublications
--	--

Figure 24. Check a Securities Registration page