

11 NCAC 13 .0307 CHANGE IN OWNERSHIP OR MANAGEMENT AND IN CERTAIN EMPLOYEES

Each licensee shall furnish all the following information in writing to the Commissioner within 10 days after the occurrence of the event:

- (1) form DOI-5PF on each stockholder who attains ten percent or more of any class of the licensee's outstanding capital stock;
- (2) form DOI-5PF on each partner, officer or employee acting as office manager or field representative who is employed by the licensee; and
- (3) the name and address of each partner, officer or employee acting as office manager or field representative who is terminated or has his status altered by the licensee.

*History Note: Authority G.S. 58-2-40; 58-35-30(a);
Eff. February 1, 1976;
Readopted Eff. January 1, 1978;
Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. June 25, 2016.*