

14B NCAC 16 .1107 ENFORCEMENT

A violation by the Associate may be deemed by the Board to be a violation of the sponsor if the violation is found to be the result of insufficient supervision and may subject the sponsor to any enforcement actions pursuant to G.S. 74C-17.

*History Note: Authority G.S. 74C-2(c); 74C-5(2); 74C-12;
Eff. July 1, 1994;
Transferred and Recodified from 12 NCAC 07D .1107 Eff. July 1, 2015;
Readopted Eff. July 1, 2020.*