

18 NCAC 06A .1406 EXPIRATION AND RENEWAL OF DEALER REGISTRATION

- (a) A dealer registration shall expire on December 31 of each year unless timely renewed.
- (b) A NASD member firm shall renew according to NASAA/NASD Central Registration Depository procedures.
- (c) A non-NASD member firm shall renew by filing the following with the administrator at least 15 days before the expiration date:
 - (1) Application of Dealer In Securities For Renewal Of Registration;
 - (2) Fee in the amount of two hundred dollars (\$200.00) for the dealer renewal payable to the North Carolina Secretary of State; and
 - (3) Renewal of its salesmen pursuant to Rule .1407 of this Section.

*History Note: Authority G.S. 78A-36(c); 78A-37(a); 78A-37(b); 78A-40(a); 78A-49(a);
Eff. April 1, 1981;
Amended Eff. October 1, 1988; January 1, 1984; November 1, 1982; March 1, 1982;
Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6,
2016.*