

**18 NCAC 06A .1410      MINIMUM FINANCIAL REQUIREMENTS FOR DEALERS**

(a) Each dealer registered or required to be registered under this Act shall comply with SEC Rules 15c3-1, 15c3-2, and 15c3-3 (17 C.F.R. 240.15c3-1, 17 C.F.R. 240.15c3-2, and 17 C.F.R. 240.15c3-3), as amended from time to time.

(b) Any dealer who fails to maintain the minimum net capital requirement of Paragraph (a) of this Rule shall immediately suspend offers and sales of securities, notify the administrator within three business days of such fact, and shall not resume such operations until evidence has been submitted to and approved in writing by the administrator that the requirements of Paragraph (a) of this Rule have been met.

*History Note:      Authority G.S. 78A-37(d); 78A-49(a);  
Eff. April 1, 1981;  
Amended Eff. October 1, 1988, January 1, 1984;  
Temporary Amendment Eff. October 1, 1997;  
Amended Eff. August 1, 1998;  
Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6,  
2016.*