

18 NCAC 06A .1711 TRANSFER/INVESTMENT ADVISER REPRESENTATIVE'S REGISTRATION

History Note: *Authority G.S. 78C-16(a); 78C-16(b); 78C-17(a); 78C-17(b); 78C-20: 78C-30(a); 78C-30(b);
Temporary Rule Eff. January 2, 1989 for a Period of 180 Days to Expire on June 30, 1989;
Eff. February 1, 1989;
Temporary Amendment Eff. January 14, 2002;
Amended Eff. April 1, 2003;
Expired Eff. January 1, 2017 pursuant to G.S. 150B-21.3A.*