

18 NCAC 06A .1806 TRANSACTIONS DEEMED NOT TO BE ASSIGNMENTS

For purposes of Section 78C-8(c)(2) of the Act, a transaction which does not result in a change of actual control or management of an investment adviser or investment adviser covered under federal law is not an assignment.

History Note: *Authority G.S. 78C-8(c)(2); 78C-8(f); 78C-30(a);*
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. 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.