

18 NCAC 06A .2030 FUNDING PORTAL REGISTRATION

- (a) A funding portal shall apply for registration as a North Carolina Intrastate Funding Portal by filing with the Administrator a Form North Carolina Intrastate Funding Portal (Form NCFP) at least 10 business days before it intends to post an offering on behalf of any issuer relying on the Exemption.
- (b) A funding portal shall not post a securities offering before its registration has been declared effective by the Administrator.
- (c) A funding portal's registration expires on December 31 of each year, unless renewed within 30 days of expiration by filing a newly executed Form NCFP.
- (d) A funding portal that undergoes a merger, an acquisition, or any other ownership change shall file a Form NCFP on behalf of the surviving or new entity before the effective date of the change.

History Note: Authority G.S. 78A-17.1(a)(5); 78A-17.1(f); 78A-49(a); 78A-49(d); 78A-64; S.L. 2016-103, s.4.(a);
Eff. April 1, 2017.