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The Form NCFP shall include:

- (1) all information that the funding portal is required to provide under G.S. 78A-17.1(a)(9)c, including:
 - (a) the funding portal's legal identity;
 - (b) the funding portal's physical location;
 - (c) the name and address of the funding portal's registered agent;
 - (d) the identity of the individual responsible for filing updates to the funding portal's Form NCFP;
 - (e) the identity of its officers, directors, or any persons occupying a similar status or performing a similar function; and
 - (f) the funding portal's website address (URL);
- (2) the funding portal's attestations required under Rule .2032 of this Section;
- (3) a description of how the funding portal will safeguard the investment funds in the escrow account if its registration expires or it no longer intends to do business in North Carolina;
- (4) the identity of the escrow agent that the funding portal intends to use to hold investor funds;
- (5) a sample escrow agreement that is compliant with Rule .2019 of this Section; and
- (6) all contracts between the funding portal and its service providers, banks, or depository institutions governing the administration of investor funds.

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.