

18 NCAC 06A .2049 ADDITIONAL COMMUNICATION CHANNEL REQUIREMENTS

An issuer and persons acting on behalf of the issuer may communicate with prospective investors and investors about the terms of the securities offering if:

- (1) effected through communication channels provided by the issuer, funding portal, or registered dealer on their platforms;
- (2) the issuer identifies itself as the issuer in all communications; and
- (3) persons acting on behalf of the issuer identify their names, titles, and affiliation with the issuer in all communications.

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.