

SUBCHAPTER 06B – GENERAL

SECTION .0100 - PURPOSE

18 NCAC 06B .0101 SCOPE

(a) The rules in this Chapter execute the authority granted to the Secretary of State pursuant to the following Chapters of the North Carolina General Statutes ("the Secretary's authority"):

- (1) Chapter 78A, the North Carolina Securities Act;
- (2) Chapter 78C, the North Carolina Investment Advisers Act, including the Uniform Athlete Agents Act;
- (3) Chapter 78D, the North Carolina Commodities Act; and
- (4) Article 4, Part 5, of Chapter 105, Tax Credits for Qualified Business Investments.

(b) The Secretary's authority under these statutes is administered under the supervision of the Deputy Securities Administrator through the Securities Division of the North Carolina Department of the Secretary of State.

*History Note: Authority G.S. 78A-45(a); 78A-49(a); 78C-26(a); 78C-30(a); 78C-105; 78D-25; 78D-27; 105-163.013;
Eff. April 1, 2009;
Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016.*