

18 NCAC 06A .1102 PURPOSE

The purpose of the North Carolina Securities Act is the regulation of the sale of securities for the protection of the investing public. This is accomplished by securities being registered or exempt, dealers and salesmen being registered and other activities including investigating complaints, conducting hearings and any other action required by the Act.

*History Note: Authority G.S. 78A-1; 78A-49(a);
Eff. April 1, 1981;
Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6,
2016.*