

18 NCAC 06A .1210 SECURITIES EXCHGS/AUTO QUOTATION SYS
APPROVED/ADMINISTRATOR

For purposes of G.S. 78A-16(15), the following securities exchanges and automated quotation systems are approved provided such exchanges or systems comply with the provisions of Paragraphs (1) through (4) of the Memorandum of Understanding regarding a Model Uniform Marketplace Exemption From State Securities Registration Requirements [SEC Release 33-6810 (December 16, 1988), CCH NASAA Reports, par. 2,351] or the Memorandum of Understanding between The North American Securities Administrators Association, Inc. and The Philadelphia Stock Exchange, Inc., incorporated herein by reference. The incorporated material may be obtained, free of charge, from the North Carolina Securities Division, Department of the Secretary of State, P.O. Box 29622, Raleigh, North Carolina 27626-0622:

- (1) New York Stock Exchange;
- (2) American Stock Exchange;
- (3) Pacific Stock Exchange;
- (4) Midwest Stock Exchange;
- (5) NASDAQ National Market System;
- (6) Chicago Board Options Exchange; and
- (7) Philadelphia Stock Exchange.

*History Note: Authority G.S. 78A-16(15); 150B-21.6; 78A-(49);
Eff. February 1, 1991;
Temporary Adoption Eff. December 8, 1990 for a period of 180 days to expire on June 5, 1991;
Temporary Adoption Eff. June 11, 1990 for a period of 180 days to expire on December 8, 1990;
ARRC Objection Lodged June 21, 1990;
ARRC Objection Removed August 20, 1990;
ARRC Objection Lodged December 20, 1990;
Amended Eff. April 1, 2003; October 1, 2000; May 1, 1995; August 1, 1991;
Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016.*