

**18 NCAC 06A .1404 CHANGE IN NAME OF DEALER**

Where only a change in the name of the dealer applicant or registrant occurs, an amended Form BD shall be filed with the administrator together with any amendments to the organizational documents, or accompanying letters of explanation, within 30 days of the date of the change. The dealer shall return its license and new license will be issued reflecting the name change. There will be no fee for reissuance of the license. Each salesman shall retain either his salesman's license if the dealer is a non-NASD member firm or his notice of NASAA/NASD Central Registration Depository effectiveness for North Carolina if the dealer is a NASD member firm and this license or notice shall suffice as evidence of licensing under the new dealer name until renewal.

*History Note: Authority G.S. 78A-37(c); 78A-49(a);  
Eff. April 1, 1981;  
Amended Eff. November 1, 1982;  
Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016.*