

18 NCAC 06A .2026 REGISTERED DEALER ACTING AS AN ESCROW AGENT

A registered dealer that acts as an escrow agent for the issuer's securities offering shall:

- (1) be registered with the SEC and the State of North Carolina to offer and sell the intrastate securities offering;
- (2) deposit and hold the investor funds in an escrow account pursuant to an escrow agreement;
- (3) comply with Rules .2024 and .2025 of this Section, 17 CFR 240.15c2-4, and 17 CFR 240.10b-9, which are incorporated by reference including subsequent amendments and editions.

Copies of the regulations incorporated by reference in Item (3) of this Rule may be obtained at no cost by sending an email to secdiv@sosnc.gov, or online at: <http://www.sosnc.gov/sec/statutes.aspx>.

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.