

18 NCAC 06A .2039 FUNDING PORTAL STANDARDS OF CONDUCT

(a) A funding portal and all persons associated with it shall:

- (1) observe high standards of commercial honor and just and equitable principles of trade in the conduct of its business; and
- (2) give particular attention to any conflicts of interest that may arise or exist.

(b) A funding portal and all persons associated with it who do not comply with the rules in this Section may be considered by the Administrator to be engaging in acts in violation of this Rule.

(c) Violations of this Rule may be grounds for denial, censure, suspension, or revocation of a funding portal's registration or other action authorized by G.S. 78A-39.

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.