

**18 NCAC 06A .2046      INDIVIDUALS NOT SUBJECT TO DEALER REGISTRATION**

Officers, employees, associated independent contractors, and other persons of an issuer involved in the sale of the issuer's securities shall not be subject to registration as a dealer or salesman if they comply with the safe harbor requirements set out in 17 CFR 240.3a4-1, which is incorporated by reference, including subsequent amendments and editions. A copy of 17 CFR 240.3a4-1 is available on request at no cost by sending an email request to [secdiv@sosnc.gov](mailto: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);  
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