

SECTION .0200 – CONSOLIDATED RULES

18 NCAC 06B .0201 SENIOR DESIGNATION AS DISHONEST OR UNETHICAL PRACTICE

(a) This Rule applies to natural persons registered with the Division as securities dealers, securities salesmen, investment advisers or investment adviser representatives.

(b) The NASAA Model Rule On The Use of Senior-Specific Certifications and Professional Designation, as adopted March 20, 2008, including subsequent amendments and editions, is hereby incorporated by reference. Copies of the NASAA Model Rule On The Use of Senior-Specific Certifications and Professional Designation are available free of charge on the Division's web page at <https://www.sosnc.gov> or at the NASAA web site, www.nasaa.org, under "Adopted Model Rules."

(c) As used in the Model Rule, the "appropriate State securities act provisions" are G.S. 78A-39 and 78C-19.

History Note: Authority G.S. 78A-39; 78A-49; 78C-19; 78C-30; 150B-21.6;

Eff. February 1, 2010;

Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 6, 2016;

Amended Eff. October 1, 2019.