

20 NCAC 07 .0502 ANNUAL REPORTING

- (a) In the case of the Dedicated Method, on or before July 31 of each year, the depository shall submit to each public depositor Form COLL-98.
- (b) In the case of the Pooling Method, on or before July 31 of each year, each depository shall submit to the State Treasurer Forms COLL-97 and COLL-98, in addition to the quarterly report (COLL-96) dated June 30.
- (c) Form COLL-97, "Annual Report of Public Deposit Accounts by Bank," shall be dated June 30, shall list all public depositors, and for each public depositor, show the amounts on deposit by type, identify the amounts insured by type, and shall be certified by an authorized officer of the depository that the statements are correct.
- (d) Form COLL-98, "Collateral Report for Public Deposits," shall be dated June 30, shall list and describe all collateral pledged (including CUSIP number, par and market value), with each escrow agent for the public depositor or State Treasurer, and shall be certified by an authorized officer of the depository that the statements are correct.
- (e) The depository may substitute its own format for Form COLL-97 and COLL-98, provided the format is substantially the same in content and order of presentation.

*History Note: Authority G.S. 115C-444(b); 147-79; 159-31(b);
Eff. August 1, 1980;
Readopted with Change Eff. February 1, 1982;
Amended Eff. April 1, 1994; September 1, 1988;
Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. April 5,
2016;
Amended Eff. November 1, 2020.*