

G.S. 150B-21.3A Report for 11 NCAC 11, FINANCIAL EVALUATION DIVISION

Agency - Department of Insurance

Comment Period - June 2, 2025 - August 11, 2025

Date Submitted to APO - October 31, 2025

| Subchapter | Rule Section | Rule Citation | Rule Name | Date and Last Agency Action on the Rule | Agency Determination [150B-21.3A(c)(1)a] | Required to Implement or Conform to Federal Regulation [150B-21.3A(d1)] | Federal Regulation Citation | Public Comment Received [150B-21.3A(c)(1)] | Agency Determination Following Public Comment [150B-21.3A(c)(1)] | RRC Determination of Public Comments [150B-21.3A(c)(2)] | RRC Final Determination of Status of Rule for Report to APO [150B-21.3A(c)(2)] | OAH Next Steps |
|---|-------------------------------------|--|---|--|--|---|-----------------------------|--|--|---|--|---------------------------------|
| SUBCHAPTER 11A GENERAL PROVISIONS | SECTION .0100 DEFINITIONS | 11 NCAC 11A .0105 | MULTIPLE LINE INSURER | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Necessary | No | | No | Necessary | No comments with merit | Necessary and must be readopted | Agency must readopt |
| | | 11 NCAC 11A .0106 | DEEMER CLAUSE OR DEEMER PROVISION | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Necessary | No | | No | Necessary | No comments with merit | Necessary and must be readopted | Agency must readopt |
| SUBCHAPTER 11B SPECIAL PROGRAMS | SECTION .0100 SECURITIES | 11 NCAC 11B .0152 | CUSTODY AGREEMENT FOR SECURITIES AND OTHER ASSETS DEPOSITED WITH THE COMMISSIONER | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Necessary | No | | No | Necessary | No comments with merit | Necessary and must be readopted | Agency must readopt |
| | | SECTION .0200 INSURANCE HOLDING COMPANY SYSTEMS | DEFINITIONS | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Unnecessary | No | | No | Unnecessary | No comments with merit | Unnecessary and should expire on the first day of the month following the consultation | Rule expired - remove from Code |
| | | 11 NCAC 11B .0216 | FORMS GENERAL REQUIREMENTS | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Unnecessary | No | | No | Unnecessary | No comments with merit | Unnecessary and should expire on the first day of the month following the consultation | Rule expired - remove from Code |
| | | 11 NCAC 11B .0217 | ACQUISITION OF CONTROL STATEMENT FILING | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Unnecessary | No | | No | Unnecessary | No comments with merit | Unnecessary and should expire on the first day of the month following the consultation | Rule expired - remove from Code |
| | | 11 NCAC 11B .0218 | ACQUISITION OF CONTROL SOURCE OF CONSIDERATION | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Unnecessary | No | | No | Unnecessary | No comments with merit | Unnecessary and should expire on the first day of the month following the consultation | Rule expired - remove from Code |
| | | 11 NCAC 11B .0219 | ANNUAL REGISTRATION OF INSURERS STATEMENT FILING | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Unnecessary | No | | No | Unnecessary | No comments with merit | Unnecessary and should expire on the first day of the month following the consultation | Rule expired - remove from Code |
| | | 11 NCAC 11B .0220 | ALTERNATIVE AND CONSOLIDATED REGISTRATIONS | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Unnecessary | No | | No | Unnecessary | No comments with merit | Unnecessary and should expire on the first day of the month following the consultation | Rule expired - remove from Code |
| | | 11 NCAC 11B .0221 | DISCLAIMERS AND TERMINATION OF REGISTRATION | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Unnecessary | No | | No | Unnecessary | No comments with merit | Unnecessary and should expire on the first day of the month following the consultation | Rule expired - remove from Code |
| | | 11 NCAC 11B .0222 | TRANSACTIONS SUBJECT TO PRIOR NOTICE NOTICE FILING | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Unnecessary | No | | No | Unnecessary | No comments with merit | Unnecessary and should expire on the first day of the month following the consultation | Rule expired - remove from Code |
| | | 11 NCAC 11B .0223 | ADEQUACY OF SURPLUS | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Unnecessary | No | | No | Unnecessary | No comments with merit | Unnecessary and should expire on the first day of the month following the consultation | Rule expired - remove from Code |
| | SECTION .0300 VARIABLE ANNUITIES | 11 NCAC 11B .0303 | INFORMATION REQUIRED PRIOR TO APPROVAL | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Necessary | No | | No | Necessary | No comments with merit | Necessary and must be readopted | Agency must readopt |
| SUBCHAPTER 11C ANALYSIS AND EXAMINATIONS | SECTION .0100 GENERAL PROVISIONS | 11 NCAC 11C .0104 | RECORD OF BUSINESS TO BE KEPT BY COMPANY | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Necessary | No | | No | Necessary | No comments with merit | Necessary and must be readopted | Agency must readopt |
| | | 11 NCAC 11C .0105 | RETENTION OF RECORDS OF DOMESTIC INSURANCE COMPANIES | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Necessary | No | | No | Necessary | No comments with merit | Necessary and must be readopted | Agency must readopt |
| | | 11 NCAC 11C .0114 | CERTIFICATES OF CONTRIBUTION | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Necessary | No | | No | Necessary | No comments with merit | Necessary and must be readopted | Agency must readopt |
| | | 11 NCAC 11C .0117 | CONFLICT OF INTEREST STATEMENTS MUST BE EXECUTED ANNUALLY | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Necessary | No | | No | Necessary | No comments with merit | Necessary and must be readopted | Agency must readopt |
| | | 11 NCAC 11C .0119 | MORTGAGE LOANS TO BE SOLD WITHOUT RECOURSE | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Necessary | No | | No | Necessary | No comments with merit | Necessary and must be readopted | Agency must readopt |
| | | 11 NCAC 11C .0129 | FORM OF REPORTS OF EXAMINATION: FOREIGN COMPANIES | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Necessary | No | | No | Necessary | No comments with merit | Necessary and must be readopted | Agency must readopt |

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| Subchapter | Rule Section | Rule Citation | Rule Name | Date and Last Agency Action on the Rule | Agency Determination [150B-21.3A(c)(1)a] | Required to Implement or Conform to Federal Regulation [150B-21.3A(d1)] | Federal Regulation Citation | Public Comment Received [150B-21.3A(c)(1)] | Agency Determination Following Public Comment [150B-21.3A(c)(1)] | RRC Determination of Public Comments [150B-21.3A(c)(2)] | RRC Final Determination of Status of Rule for Report to APO [150B-21.3A(c)(2)] | OAH Next Steps |
|---|---|-------------------|---|--|--|---|-----------------------------|--|--|---|--|---------------------|
| | SECTION .0300 HEALTH MAINTENANCE ORGANIZATIONS | 11 NCAC 11C .0307 | FINANCIAL CERTIFICATION: HMO | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Necessary | No | | No | Necessary | No comments with merit | Necessary and must be readopted | Agency must readopt |
| | | 11 NCAC 11C .0310 | REINSURANCE AGREEMENTS: HMO | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Necessary | No | | No | Necessary | No comments with merit | Necessary and must be readopted | Agency must readopt |
| | | 11 NCAC 11C .0311 | EXPANSION OF SERVICE AREA: HMO | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Necessary | No | | No | Necessary | No comments with merit | Necessary and must be readopted | Agency must readopt |
| | SECTION .0400 MORTGAGE GUARANTY INSURANCE | 11 NCAC 11C .0405 | POLICY FORMS: MORTGAGE GUARANTY INSURANCE | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Necessary | No | | No | Necessary | No comments with merit | Necessary and must be readopted | Agency must readopt |
| | | 11 NCAC 11C .0406 | APPRAISAL REVIEW FEES ARE PART OF PREMIUM CHARGE | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Necessary | No | | No | Necessary | No comments with merit | Necessary and must be readopted | Agency must readopt |
| | | 11 NCAC 11C .0407 | REPORT OF POLICYHOLDERS POSITION – MORTGAGE GUARANTY INSURERS | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Necessary | No | | No | Necessary | No comments with merit | Necessary and must be readopted | Agency must readopt |
| | SECTION .0500 REINSURANCE | 11 NCAC 11C .0501 | ACCREDITED REINSURER APPLICATION | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Unnecessary | No | | No | Necessary | No comments with merit | Necessary and must be readopted | Agency must readopt |
| | | 11 NCAC 11C .0502 | ACCREDITED REINSURER FILING REQUIREMENTS | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Unnecessary | No | | No | Necessary | No comments with merit | Necessary and must be readopted | Agency must readopt |
| | | 11 NCAC 11C .0503 | ACCREDITED REINSURER REVOCATION OF ACCREDITATION | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Unnecessary | No | | No | Necessary | No comments with merit | Necessary and must be readopted | Agency must readopt |
| | | 11 NCAC 11C .0504 | TRUST AGREEMENTS QUALIFIED UNDER G.S. 58-7-26 | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Necessary | No | | No | Necessary | No comments with merit | Necessary and must be readopted | Agency must readopt |
| | | 11 NCAC 11C .0505 | LETTERS OF CREDIT | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Necessary | No | | No | Necessary | No comments with merit | Necessary and must be readopted | Agency must readopt |
| | SECTION .0600 PREMIUMS IN THE COURSE OF COLLECTION | 11 NCAC 11C .0601 | DEFINITIONS | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Necessary | No | | No | Necessary | No comments with merit | Necessary and must be readopted | Agency must readopt |
| | | 11 NCAC 11C .0602 | APPLICABILITY | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Necessary | No | | No | Necessary | No comments with merit | Necessary and must be readopted | Agency must readopt |
| | | 11 NCAC 11C .0603 | COMPLIANCE TRUST ACCOUNT | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Necessary | No | | No | Necessary | No comments with merit | Necessary and must be readopted | Agency must readopt |
| | | 11 NCAC 11C .0604 | COMPLIANCE: LETTER OF CREDIT | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Necessary | No | | No | Necessary | No comments with merit | Necessary and must be readopted | Agency must readopt |
| | | 11 NCAC 11C .0605 | COMPLIANCE: FINANCIAL GUARANTY BOND | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Necessary | No | | No | Necessary | No comments with merit | Necessary and must be readopted | Agency must readopt |
| SUBCHAPTER 11D – PROXY: LIQUIDATION AND MERGER | SECTION .0100 – GENERAL PROVISIONS | 11 NCAC 11D .0104 | APPLICABILITY OF LAWS AFTER REVOCATION OR SUSPENSION | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Necessary | No | | No | Necessary | No comments with merit | Necessary and must be readopted | Agency must readopt |
| | | 11 NCAC 11D .0107 | BUSINESS IN OWN NAME: EMBLEMS; INSIGNIAS; ETC | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Necessary | No | | No | Necessary | No comments with merit | Necessary and must be readopted | Agency must readopt |
| | | 11 NCAC 11D .0110 | SIZE OF TYPE OF ALL NOTICES REQUIRED TO BE PUBLISHED | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Necessary | No | | No | Necessary | No comments with merit | Necessary and must be readopted | Agency must readopt |

G.S. 150B-21.3A Report for 11 NCAC 11, FINANCIAL EVALUATION DIVISION

Agency - Department of Insurance

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|--|--------------|-------------------|--|--|--|---|-----------------------------|--|--|---|--|---------------------|
| | | 11 NCAC 11D .0111 | CERTIFICATE OF INCORPORATION AND AMENDMENTS: APPROVAL | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Necessary | No | | No | Necessary | No comments with merit | Necessary and must be readopted | Agency must readopt |
| | | 11 NCAC 11D .0112 | DOMESTIC STOCK TITLE INS COMPANIES: CAPITAL REQUIREMENTS | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Necessary | No | | No | Necessary | No comments with merit | Necessary and must be readopted | Agency must readopt |
| | | 11 NCAC 11D .0165 | EXEMPTION FROM SUBSECTION (c): DISTRIBUTION | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Necessary | No | | No | Necessary | No comments with merit | Necessary and must be readopted | Agency must readopt |
| | | 11 NCAC 11D .0169 | NOTICE OF HEARING ON REVOCATION OR SUSPENSION OF LICENSE | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Necessary | No | | No | Necessary | No comments with merit | Necessary and must be readopted | Agency must readopt |
| | | 11 NCAC 11D .0170 | WRITTEN ORDER: HEARING ON REVOCATION OR SUSPENSION | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Necessary | No | | No | Necessary | No comments with merit | Necessary and must be readopted | Agency must readopt |
| SUBCHAPTER 11H CONTINUING CARE FACILITIES | | 11 NCAC 11H .0101 | DEFINITIONS | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Necessary | No | | No | Necessary | No comments with merit | Necessary and must be readopted | Agency must readopt |
| | | 11 NCAC 11H .0102 | LICENSE STEPS | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Necessary | No | | No | Necessary | No comments with merit | Necessary and must be readopted | Agency must readopt |
| | | 11 NCAC 11H .0103 | REVOCATION OF LICENSE | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Necessary | No | | No | Necessary | No comments with merit | Necessary and must be readopted | Agency must readopt |
| | | 11 NCAC 11H .0104 | SALE OR TRANSFER OF OWNERSHIP | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Necessary | No | | No | Necessary | No comments with merit | Necessary and must be readopted | Agency must readopt |
| | | 11 NCAC 11H .0105 | STANDARDIZED DISCLOSURE STATEMENT FORMAT | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Necessary | No | | No | Necessary | No comments with merit | Necessary and must be readopted | Agency must readopt |
| | | 11 NCAC 11H .0106 | HEALTH AND FINANCIAL CONDITIONS FOR ACCEPTANCE | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Necessary | No | | No | Necessary | No comments with merit | Necessary and must be readopted | Agency must readopt |
| | | 11 NCAC 11H .0107 | FINANCIAL STATEMENTS AND COMPILED FIVE YEAR FORECASTS | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Necessary | No | | No | Necessary | No comments with merit | Necessary and must be readopted | Agency must readopt |
| | | 11 NCAC 11H .0108 | COMPILED FIVE YEAR FORECAST | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Necessary | No | | No | Necessary | No comments with merit | Necessary and must be readopted | Agency must readopt |
| | | 11 NCAC 11H .0109 | PROPOSED OR DEVELOPMENT STAGE FACILITIES | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Necessary | No | | No | Necessary | No comments with merit | Necessary and must be readopted | Agency must readopt |
| | | 11 NCAC 11H .0110 | CONTRACT SPECIFICATION LIVING UNIT | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Necessary | No | | No | Necessary | No comments with merit | Necessary and must be readopted | Agency must readopt |
| | | 11 NCAC 11H .0111 | INSOLVENCY OR HAZARDOUS FINANCIAL CONDITION | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015. | Necessary | No | | No | Necessary | No comments with merit | Necessary and must be readopted | Agency must readopt |