

G.S. 150B-21.3A Report for 21 NCAC 04, AUCTIONEERS							
Agency - Auctioneer Licensing Board							
Comment Period - Septmember 24, 2026 - November 30, 2026							
Date Submitted to APO - Filled in by RRC staff							
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
SUBCHAPTER 04B - AUCTIONEER LICENSING BOARD	SECTION .0100 - ORGANIZATION AND GENERAL PROVISIONS	21 NCAC 04B .0101	PURPOSE	Readopted Eff. July 1, 2020	Necessary	No	
		21 NCAC 04B .0102	BOARD OFFICE	Readopted Eff. July 1, 2020	Necessary	No	
		21 NCAC 04B .0103	DEFINITIONS	Readopted Eff. July 1, 2020	Necessary	No	
		21 NCAC 04B .0104	ADMINISTRATIVE LAW PROCEDURES	Readopted Eff. July 1, 2020	Necessary	No	
	SECTION .0200 - APPLICATION FOR LICENSE	21 NCAC 04B .0201	APPLICATION FORMS	Readopted Eff. July 1, 2020	Necessary	No	
		21 NCAC 04B .0202	FILING AND FEES	Readopted Eff. July 1, 2020	Necessary	No	
		21 NCAC 04B .0203	EXTENSIONS FOR MEMBERS OF THE ARMED FORCES	Eff. July 1, 2020	Necessary	No	
	SECTION .0300 - EXAMINATIONS	21 NCAC 04B .0301	SUBJECT MATTER	Readopted Eff. July 1, 2020	Necessary	No	
		21 NCAC 04B .0302	RE-EXAMINATION/REFUND OF FEES	Readopted Eff. July 1, 2020	Necessary	No	
		21 NCAC 04B .0303	EXAM: REVIEW: PAPERS AND CONTENTS	Readopted Eff. July 1, 2020	Necessary	No	
	SECTION .0400 – LICENSING	21 NCAC 04B .0401	LICENSE NUMBER: DISPLAY OF LICENSE AND POCKET CARD	Readopted Eff. July 1, 2020	Necessary	No	
		21 NCAC 04B .0402	LICENSE RENEWAL	Readopted Eff. July 1, 2020	Necessary	No	
		21 NCAC 04B .0403	APPRENTICE AUCTIONEER LICENSE	Readopted Eff. July 1, 2020	Necessary	No	
		21 NCAC 04B .0404	GROUND'S FOR LICENSE DENIAL OR DISCIPLINE	Readopted Eff. July 1, 2020	Necessary	No	
		21 NCAC 04B .0405	INVOLVEMENT IN COURT ACTION OR ADMINISTRATIVE HEARING	Readopted Eff. July 1, 2020	Necessary	No	

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	SECTION .0500 - SCHOOLS OF AUCTIONEERING	21 NCAC 04B .0501	APPLICATION FOR COURSE APPROVAL	Readopted Eff. July 1, 2020	Necessary	No	
		21 NCAC 04B .0502	REQUIREMENTS FOR APPROVAL/MINIMUM STANDARDS	Readopted Eff. July 1, 2020	Necessary	No	
		21 NCAC 04B .0503	CERTIFICATION OF COURSE COMPLETION	Readopted Eff. July 1, 2020	Necessary	No	
		21 NCAC 04B .0504	RECORDS MUST BE MAINTAINED	Readopted Eff. July 1, 2020	Necessary	No	
		21 NCAC 04B .0505	GROUNDNS FOR APPROVAL, DENIAL, SUSPENSION, OR REVOCATION	Amended Eff. September 1, 2022	Necessary	No	
		21 NCAC 04B .0506	ALLOWING UNLICENSED BID CALLERS: EXCEPTION	Readopted Eff. July 1, 2020	Necessary	No	
	SECTION .0600 - GENERAL AUCTIONEERING	21 NCAC 04B .0601	CHANGE OF ADDRESS OR BUSINESS NAME OR OWNERSHIP	Readopted Eff. July 1, 2020	Necessary	No	
		21 NCAC 04B .0602	ADVERTISING	Readopted Eff. July 1, 2020	Necessary	No	
		21 NCAC 04B .0603	SALE PROCEEDS, ACCOUNTING AND ESCROW ACCOUNTS	Readopted Eff. July 1, 2020	Necessary	No	
		21 NCAC 04B .0604	CONTRACTS, CONSIGNMENT RECORDS, SALES RECORDS, AND BIDDER REGISTRATION RECORDS	Readopted Eff. July 1, 2020	Necessary	No	
		21 NCAC 04B .0605	BIDDING	Readopted Eff. July 1, 2020	Necessary	No	
		21 NCAC 04B .0606	AUCTION FIRMS	Readopted Eff. July 1, 2020	Necessary	No	
		21 NCAC 04B .0607	SOLE PROPRIETOR AUCTION BUSINESSES	Readopted Eff. July 1, 2020	Necessary	No	
	SECTION .0700 - RECOVERY FUND	21 NCAC 04B .0701	APPLICATIONS	Readopted Eff. July 1, 2020	Necessary	No	

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	SECTION .0800 - CONTINUING EDUCATION	21 NCAC 04B .0801	CONTINUING EDUCATION COURSE	Readopted Eff. July 1, 2020	Necessary	No	
		21 NCAC 04B .0802	APPLICATION FOR ORIGINAL APPROVAL	Readopted Eff. July 1, 2020	Necessary	No	
		21 NCAC 04B .0803	STUDENT FEE FOR COURSES	Readopted Eff. July 1, 2020	Necessary	No	
		21 NCAC 04B .0804	APPROVAL OF CONTINUING EDUCATION INSTRUCTORS	Readopted Eff. July 1, 2020	Necessary	No	
		21 NCAC 04B .0805	SPONSOR REQUIREMENTS	Readopted Eff. July 1, 2020	Necessary	No	
		21 NCAC 04B .0806	COURSE COMPLETION REPORTING	Readopted Eff. July 1, 2020	Necessary	No	
		21 NCAC 04B .0807	CHANGE IN SPONSOR OWNERSHIP AND OTHER INFORMATION	Readopted Eff. July 1, 2020	Necessary	No	
		21 NCAC 04B .0808	COURSE RECORDS	Readopted Eff. July 1, 2020	Necessary	No	
		21 NCAC 04B .0809	RENEWAL OF COURSE AND SPONSOR APPROVAL	Readopted Eff. July 1, 2020	Necessary	No	
		21 NCAC 04B .0810	DENIAL OR WITHDRAWAL OF APPROVAL	Readopted Eff. July 1, 2020	Necessary	No	
		21 NCAC 04B .0812	SCHEDULING AND NOTICE OF SCHEDULED COURSES	Readopted Eff. July 1, 2020	Necessary	No	
		21 NCAC 04B .0813	ADVERTISING; PROVIDING COURSE INFORMATION	Readopted Eff. July 1, 2020	Necessary	No	
		21 NCAC 04B .0814	CONDUCT OF CLASSES	Readopted Eff. July 1, 2020	Necessary	No	
		21 NCAC 04B .0815	INSTRUCTOR CONDUCT AND PERFORMANCE	Readopted Eff. July 1, 2020	Necessary	No	
		21 NCAC 04B .0816	MONITORING ATTENDANCE	Readopted Eff. July 1, 2020	Necessary	No	
		21 NCAC 04B .0817	STUDENT PARTICIPATION STANDARDS	Readopted Eff. July 1, 2020	Necessary	No	

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		21 NCAC 04B .0818	ADDITIONAL SPONSOR REQUIREMENTS	Readopted Eff. July 1, 2020	Necessary	No	
		21 NCAC 04B .0819	ALTERNATIVE COMPLIANCE	Readopted Eff. July 1, 2020	Necessary	No	