

G.S. 150B-21.3A Report for 20 NCAC Chapter 07, Collateralization of Deposits

Agency - State Treasurer, Department of

Comment Period - 08/24/2015 through October 25, 2016

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]	Implements or Conforms 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)]
	SECTION .0100 - GENERAL	20 NCAC 07 .0101	GENERAL INFORMATION	Amended Eff. April 1, 1994	Necessary without substantive public interest	No		No	Necessary without substantive public interest
		20 NCAC 07 .0102	DEFINITION OF TERMS	Amended Eff. April 1, 1994	Necessary without substantive public interest	No		No	Necessary without substantive public interest
		20 NCAC 07 .0104	METHODS OF SECURING DEPOSITS	Amended Eff. April 1, 1994	Necessary without substantive public interest	No		No	Necessary without substantive public interest
		20 NCAC 07 .0105	EXERCISING THE POOLING METHOD	Amended Eff. April 1, 1994	Necessary without substantive public interest	No		No	Necessary without substantive public interest
		20 NCAC 07 .0106	FORMS	Amended Eff. April 1, 1994	Necessary without substantive public interest	No		No	Necessary without substantive public interest
		20 NCAC 07 .0107	DUTY OF DEPOSITORY	Amended Eff. April 1, 1994	Necessary without substantive public interest	No		No	Necessary without substantive public interest
	SECTION .0200 - SECURITIES TO BE DEPOSITED	20 NCAC 07 .0201	ELIGIBLE INVESTMENT SECURITIES	Amended Eff. April 1, 1994	Necessary without substantive public interest	No		No	Necessary without substantive public interest
		20 NCAC 07 .0202	AMOUNT OF COLLATERAL REQUIRED TO BE PLEDGED	Amended Eff. April 1, 1994	Necessary without substantive public interest	No		No	Necessary without substantive public interest
		20 NCAC 07 .0203	SURETY BONDS	Amended Eff. April 1, 1994	Necessary without substantive public interest	No		No	Necessary without substantive public interest
	SECTION .0300 - ESCROW OF SECURITIES	20 NCAC 07 .0301	ELIGIBLE ESCROW AGENTS	Amended Eff. April 1, 1994	Necessary without substantive public interest	No		No	Necessary without substantive public interest
		20 NCAC 07 .0302	ESCROW WITH FEDERAL RESERVE BANK OR FEDERAL HOME LOAN BANK	Amended Eff. April 1, 1994	Necessary without substantive public interest	No		No	Necessary without substantive public interest
		20 NCAC 07 .0303	ESCROW WITH A NATIONAL OR STATE - CHARTERED BANK	Amended Eff. April 1, 1994	Necessary without substantive public interest	No		No	Necessary without substantive public interest
		20 NCAC 07 .0304	PLEDGING AND RELEASING COLLATERAL	Amended Eff. April 1, 1994	Necessary without substantive public interest	No		No	Necessary without substantive public interest

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		20 NCAC 07 .0305	SECURITY AGREEMENTS	Amended Eff. April 1, 1994	Necessary without substantive public interest	No		No	Necessary without substantive public interest
	SECTION .0400 - DELIVERY AND SALE OF PLEDGED	20 NCAC 07 .0401	REQUEST FOR DELIVERY OF PLEDGED SECURITIES	Amended Eff. April 1, 1994	Necessary without substantive public interest	No		No	Necessary without substantive public interest
		20 NCAC 07 .0402	SAFEKEEPING OF DELIVERED SECURITIES	Amended Eff. April 1, 1994	Necessary without substantive public interest	No		No	Necessary without substantive public interest
		20 NCAC 07 .0403	CERTIFICATION OF DEFAULT BY PUBLIC DEPOSITORS	Amended Eff. April 1, 1994	Necessary without substantive public interest	No		No	Necessary without substantive public interest
		20 NCAC 07 .0404	SALE OF THE DELIVERED SECURITIES	Amended Eff. April 1, 1994	Necessary without substantive public interest	No		No	Necessary without substantive public interest
	SECTION .0500 - REPORTING	20 NCAC 07 .0501	QUARTERLY REPORTING	Amended Eff. April 1, 1994	Necessary without substantive public interest	No		No	Necessary without substantive public interest
		20 NCAC 07 .0502	ANNUAL REPORTING	Amended Eff. April 1, 1994	Necessary without substantive public interest	No		No	Necessary without substantive public interest
		20 NCAC 07 .0503	SPECIAL CALL REPORT	Amended Eff. April 1, 1994	Necessary without substantive public interest	No		No	Necessary without substantive public interest
		20 NCAC 07 .0504	SPECIAL REPORTING RULE FOR DEDICATED METHOD DEPOSITORIES	Amended Eff. April 1, 1994	Necessary without substantive public interest	No		No	Necessary without substantive public interest
		20 NCAC 07 .0505	ADDITIONAL MONTHLY REPORTING REQUIREMENTS	Amended Eff. April 1, 1994	Necessary without substantive public interest	No		No	Necessary without substantive public interest
	SECTION .0600 - ENFORCEMENT	20 NCAC 07 .0601	AUDIT	Readopted Eff. February 1, 1982	Necessary without substantive public interest	No		No	Necessary without substantive public interest
		20 NCAC 07 .0602	REVOCAION	Amended Eff. April 1, 1994	Necessary without substantive public interest	No		No	Necessary without substantive public interest
		20 NCAC 07 .0603	ACCELERATION OF MATURITIES	Amended Eff. April 1, 1994	Necessary without substantive public interest	No		No	Necessary without substantive public interest