

G.S. 150B-21.3A Report for 11 NCAC CHAPTER 06, AGENT SERVICES DIVISION

Agency - Department of Insurance

Comment Period - 12/01/2015 through 02/01/2016

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)] |
|--|--------------------------------------|-------------------|--|---|---|---|---|--|--|
| SUBCHAPTER 06A - AGENT SERVICES DIVISION | SECTION .0100 - GENERAL PROVISIONS   | 11 NCAC 06A .0101 | DEFINITIONS  | Amended Eff. February 1, 2008           | Necessary without substantive public interest | No  |   | No   | Necessary without substantive public interest                    |
|  | SECTION .0200 - DESCRIPTION OF FORMS | 11 NCAC 06A .0201 | GENERAL INFORMATION  | Amended Eff. October 1, 2010            | Necessary without substantive public interest | No  |   | No   | Necessary without substantive public interest                    |
|  |                                      | 11 NCAC 06A .0210 | N.C. RESIDENT BROKER'S INSURANCE BOND                        | Amended Eff. February 1, 1989           | Necessary without substantive public interest | No  |   | No   | Necessary without substantive public interest                    |
|  |                                      | 11 NCAC 06A .0212 | LICENSES   | Amended Eff. October 1, 2010            | Necessary without substantive public interest | No  |   | No   | Necessary without substantive public interest                    |
|  |                                      | 11 NCAC 06A .0219 | APPLICATION TO DETERMINE ELIGIBILITY FOR DESIGNATED AGENT    | Amended Eff. October 1, 1990            | Necessary without substantive public interest | No  |   | No   | Necessary without substantive public interest                    |
|  |                                      | 11 NCAC 06A .0220 | DESIGNATED AGENT BOND  | Eff. February 1, 1989                   | Necessary without substantive public interest | No  |   | No   | Necessary without substantive public interest                    |
|  |                                      | 11 NCAC 06A .0237 | FOREIGN MILITARY SALES AGENT LICENSE APPLICATION             | Eff. February 1, 1989                   | Necessary without substantive public interest | No  |   | No   | Necessary without substantive public interest                    |
|  | SECTION .0300 - EXAMINATIONS         | 11 NCAC 06A .0302 | EXAMINATIONS – SPECIAL ACCOMMODATIONS (ADA)                  | Amended Eff. April 1, 2003              | Necessary without substantive public interest | Yes<br>If yes, include the citation to the federal law        | AMERICANS WITH DISABILITIES ACT OF 1990, AS AMENDED, Sec. 12112 | No   | Necessary without substantive public interest                    |
|  |                                      | 11 NCAC 06A .0303 | SCHEDULE OF EXAMINATIONS                                     | Amended Eff. February 1, 1989           | Necessary without substantive public interest | No  |   | No   | Necessary without substantive public interest                    |
|  |                                      | 11 NCAC 06A .0304 | RESPONSIBILITY OF APPLICANT AT EXAMINATION SITE              | Amended Eff. February 1, 2008           | Necessary without substantive public interest | No  |   | No   | Necessary without substantive public interest                    |
|  |                                      | 11 NCAC 06A .0305 | ADMINISTRATION OF EXAMINATION                                | Amended Eff. October 1, 2010            | Necessary without substantive public interest | No  |   | No   | Necessary without substantive public interest                    |
|  | SECTION .0400 - LICENSING PROCEDURES | 11 NCAC 06A .0402 | LICENSING OF RESIDENT AGENT, LTD REPRESENTATIVE AND ADJUSTER | Amended Eff. October 1, 2010            | Necessary without substantive public interest | No  |   | No   | Necessary without substantive public interest                    |
|  |                                      | 11 NCAC 06A .0404 | LICENSING OF BROKER  | Amended Eff. February 1, 2008           | Necessary without substantive public interest | No  |   | No   | Necessary without substantive public interest                    |
|  |                                      | 11 NCAC 06A .0412 | APPOINTMENT OF AGENT: RESPONSIBILITY OF COMPANY              | Amended Eff. April 1, 2003              | Necessary without substantive public interest | No  |   | No   | Necessary without substantive public interest                    |
|  |                                      | 11 NCAC 06A .0416 | LICENSING OF RENTAL CAR COMPANIES                            | Eff. March 1, 1992                      | Necessary without substantive public interest | No  |   | No   | Necessary without substantive public interest                    |
|  |                                      | 11 NCAC 06A .0417 | REQUIREMENTS FOR PRE NEED LIMITED REP. AGENT                 | Amended Eff. April 1, 2003              | Necessary without substantive public interest | No  |   | No   | Necessary without substantive public interest                    |
|  |                                      | 11 NCAC 06A .0418 | FINGERPRINTS REQUIRED FOR CRIMINAL RECORD CHECKS             | Eff. October 1, 2010                    | Necessary without substantive public interest | No  |   | No   | Necessary without substantive public interest                    |

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|            | <b>SECTION .0500 - RENEWAL AND CANCELLATION OF LICENSES</b> | 11 NCAC 06A .0501 | RENEWAL OF AGENT APPTS: LICENSES/LIMITED REPS  | Amended Eff. October 1, 2010            | Necessary without substantive public interest | No  |                             | No   | Necessary without substantive public interest                    |
|            |   | 11 NCAC 06A .0504 | FAILURE TO RENEW LICENSE                       | Amended Eff. October 1, 2010            | Necessary without substantive public interest | No  |                             | No   | Necessary without substantive public interest                    |
|            |   | 11 NCAC 06A .0505 | TERMINATION OF APPOINTMENTS FOR LIMITED REPS   | Amended Eff. October 1, 2010            | Necessary without substantive public interest | No  |                             | No   | Necessary without substantive public interest                    |
|            |   | 11 NCAC 06A .0506 | CANCELLATION OF LICENSES ISSUED TO INDIVIDUALS | Amended Eff. October 1, 2010            | Necessary without substantive public interest | No  |                             | No   | Necessary without substantive public interest                    |
|            | <b>SECTION .0600 - DENIAL OF LICENSE</b>                    | 11 NCAC 06A .0602 | COURT RECORDS AND AFFIDAVITS REQUIRED          | Amended Eff. April 1, 2003              | Necessary without substantive public interest | No  |                             | No   | Necessary without substantive public interest                    |
|            |   | 11 NCAC 06A .0603 | EVALUATION OF RECORDS AND AFFIDAVITS           | Amended Eff. February 1, 1989           | Necessary without substantive public interest | No  |                             | No   | Necessary without substantive public interest                    |
|            | <b>SECTION .0700 - PRELICENSING EDUCATION</b>               | 11 NCAC 06A .0701 | GENERAL REQUIREMENTS                           | Amended Eff. February 1, 2008           | Necessary without substantive public interest | No  |                             | No   | Necessary without substantive public interest                    |
|            |   | 11 NCAC 06A .0702 | PRELICENSING EDUCATION SCHOOLS                 | Amended Eff. February 1, 2008           | Necessary without substantive public interest | No  |                             | No   | Necessary without substantive public interest                    |
|            |   | 11 NCAC 06A .0703 | PROGRAM DIRECTORS                              | Amended Eff. February 1, 2008           | Necessary without substantive public interest | No  |                             | No   | Necessary without substantive public interest                    |
|            |   | 11 NCAC 06A .0704 | COURSES  | Amended Eff. February 1, 2008           | Necessary without substantive public interest | No  |                             | No   | Necessary without substantive public interest                    |
|            |   | 11 NCAC 06A .0705 | INSTRUCTORS                                    | Amended Eff. February 1, 2008           | Necessary without substantive public interest | No  |                             | No   | Necessary with substantive public interest                       |
|            | <b>SECTION .0800 - CONTINUING EDUCATION</b>                 | 11 NCAC 06A .0801 | DEFINITIONS                                    | Amended Eff. March 1, 2011              | Necessary without substantive public interest | No  |                             | No   | Necessary without substantive public interest                    |
|            |   | 11 NCAC 06A .0802 | LICENSEE REQUIREMENTS                          | Amended Eff. June 1, 2011               | Necessary without substantive public interest | No  |                             | No   | Necessary without substantive public interest                    |
|            |   | 11 NCAC 06A .0803 | COURSES SPECIFICALLY APPROVED                  | Amended Eff. January 1, 2007            | Necessary without substantive public interest | No  |                             | No   | Necessary without substantive public interest                    |
|            |   | 11 NCAC 06A .0804 | CARRYOVER CREDIT                               | Amended Eff. February 1, 2008           | Necessary without substantive public interest | No  |                             | No   | Necessary without substantive public interest                    |
|            |   | 11 NCAC 06A .0805 | CALCULATION OF ICECS                           | Amended Eff. February 1, 2008           | Necessary without substantive public interest | No  |                             | No   | Necessary without substantive public interest                    |
|            |   | 11 NCAC 06A .0807 | HARDSHIP                                       | Amended Eff. February 1, 2008           | Necessary without substantive public interest | No  |                             | No   | Necessary without substantive public interest                    |
|            |   | 11 NCAC 06A .0808 | INSTRUCTOR QUALIFICATION                       | Amended Eff. February 1, 2008           | Necessary without substantive public interest | No  |                             | No   | Necessary without substantive public interest                    |
|            |   | 11 NCAC 06A .0809 | APPROVAL OF COURSES                            | Amended Eff. March 1, 2011              | Necessary without substantive public interest | No  |                             | No   | Necessary without substantive public interest                    |
|            |   | 11 NCAC 06A .0810 | ADVERTISING                                    | Amended Eff. February 1, 1996           | Necessary without substantive public interest | No  |                             | No   | Necessary without substantive public interest                    |
|            |   | 11 NCAC 06A .0811 | SANCTIONS FOR NONCOMPLIANCE                    | Amended Eff. October 1, 2010            | Necessary without substantive public interest | No  |                             | No   | Necessary without substantive public interest                    |
|            |   | 11 NCAC 06A .0812 | SPECIAL CASES                                  | Amended Eff. October 1, 2010            | Necessary without substantive public interest | No  |                             | No   | Necessary without substantive public interest                    |
|            |   | 11 NCAC 06A .0813 | ISSUANCE/CONTINUATION OF PROVIDER APPROVAL     | Amended Eff. February 1, 2008           | Necessary without substantive public interest | No  |                             | No   | Necessary without substantive public interest                    |

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|            |   | 11 NCAC 06A .0814 | AGENT EDUCATION ON LTCF POLICIES: COMPANY RESPONSIBILITY | Eff. March 1, 2011                      | Necessary without substantive public interest | No  |                             | No   | Necessary without substantive public interest                    |
|            | <b>SECTION .0900 – PUBLIC ADJUSTERS</b> | 11 NCAC 06A .0906 | FINGERPRINTS REQUIRED FOR CRIMINAL RECORD CHECKS         | Eff. October 1, 2010                    | Necessary without substantive public interest | No  |                             | No   | Necessary without substantive public interest                    |