

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 - 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	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	11 NCAC 11B .0215	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
		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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	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

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SUBCHAPTER 11H - CONTINUING CARE FACILITIES		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
		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