

**G.S. 150B-21.3A Report for 20 NCAC 07, COLLATERALIZATION OF DEPOSITS**

Agency - Department of State Treasurer

Comment Period - October 31, 2025 - December 31, 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
	<b>SECTION .0100 - GENERAL</b>	20 NCAC 07 .0101	GENERAL INFORMATION	Amended Eff. September 1, 2019	Necessary	No		No	Necessary	No comments with merit	Necessary and must be readopted	Agency must readopt
		20 NCAC 07 .0102	DEFINITION OF TERMS	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. April 5, 2016	Necessary	No		No	Necessary	No comments with merit	Necessary and must be readopted	Agency must readopt
		20 NCAC 07 .0103	NOTIFICATION BY DEPOSITOR	Amended Eff. November 1, 2020	Necessary	No		No	Necessary	No comments with merit	Necessary and must be readopted	Agency must readopt
		20 NCAC 07 .0104	METHODS OF SECURING DEPOSITS	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. April 5, 2016	Necessary	No		No	Necessary	No comments with merit	Necessary and must be readopted	Agency must readopt
		20 NCAC 07 .0105	EXERCISING THE POOLING METHOD	Amended November 1, 2020	Necessary	No		No	Necessary	No comments with merit	Necessary and must be readopted	Agency must readopt
		20 NCAC 07 .0106	FORMS	Amended Eff. November 1, 2020	Necessary	No		No	Necessary	No comments with merit	Necessary and must be readopted	Agency must readopt
		20 NCAC 07 .0107	DUTY OF DEPOSITORY	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. April 5, 2016	Necessary	No		No	Necessary	No comments with merit	Necessary and must be readopted	Agency must readopt
	<b>SECTION .0200 - SECURITIES TO BE DEPOSITED</b>	20 NCAC 07 .0201	ELIGIBLE INVESTMENT SECURITIES	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. April 5, 2016	Necessary	No		No	Necessary	No comments with merit	Necessary and must be readopted	Agency must readopt
		20 NCAC 07 .0202	AMOUNT OF COLLATERAL REQUIRED TO BE PLEDGED	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. April 5, 2016	Necessary	No		No	Necessary	No comments with merit	Necessary and must be readopted	Agency must readopt
		20 NCAC 07 .0203	SURETY BONDS	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. April 5, 2016	Necessary	No		No	Necessary	No comments with merit	Necessary and must be readopted	Agency must readopt
	<b>SECTION .0300 - ESCROW OF SECURITIES</b>	20 NCAC 07 .0301	ELIGIBLE ESCROW AGENTS	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. April 5, 2016	Necessary	No		No	Necessary	No comments with merit	Necessary and must be readopted	Agency must readopt
		20 NCAC 07 .0302	ESCROW WITH FEDERAL RESERVE BANK OR FEDERAL HOME LOAN BANK	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. April 5, 2016	Necessary	No		No	Necessary	No comments with merit	Necessary and must be readopted	Agency must readopt
		20 NCAC 07 .0303	ESCROW WITH A NATIONAL OR STATE-CHARTERED BANK	Amended eff. November 1, 2020	Necessary	No		No	Necessary	No comments with merit	Necessary and must be readopted	Agency must readopt
		20 NCAC 07 .0304	PLEDGING AND RELEASING COLLATERAL	Amended November 1, 2020	Necessary	No		No	Necessary	No comments with merit	Necessary and must be readopted	Agency must readopt
		20 NCAC 07 .0305	SECURITY AGREEMENTS	Amended Eff. November 1, 2020	Necessary	No		No	Necessary	No comments with merit	Necessary and must be readopted	Agency must readopt
	<b>SECTION .0400 - DELIVERY AND SALE OF PLEDGED SECURITIES IN THE EVENT OF DEFAULT</b>	20 NCAC 07 .0401	REQUEST FOR DELIVERY OF PLEDGED SECURITIES	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. April 5, 2016	Necessary	No		No	Necessary	No comments with merit	Necessary and must be readopted	Agency must readopt
		20 NCAC 07 .0402	SAFEKEEPING OF DELIVERED SECURITIES	Amended Eff. September 1, 2019	Necessary	No		No	Necessary	No comments with merit	Necessary and must be readopted	Agency must readopt
		20 NCAC 07 .0403	CERTIFICATION OF DEFAULT BY PUBLIC DEPOSITORS	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. April 5, 2016	Necessary	No		No	Necessary	No comments with merit	Necessary and must be readopted	Agency must readopt
		20 NCAC 07 .0404	SALE OF THE DELIVERED SECURITIES	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. April 5, 2016	Necessary	No		No	Necessary	No comments with merit	Necessary and must be readopted	Agency must readopt
	<b>SECTION .0500 - REPORTING</b>	20 NCAC 07 .0501	QUARTERLY REPORTING	Amended Eff. November 1, 2020	Necessary	No		No	Necessary	No comments with merit	Necessary and must be readopted	Agency must readopt
		20 NCAC 07 .0502	ANNUAL REPORTING	Amended Eff. November 1, 2020	Necessary	No		No	Necessary	No comments with merit	Necessary and must be readopted	Agency must readopt

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		20 NCAC 07 .0503	SPECIAL CALL REPORT	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. April 5, 2016	Necessary	No		No	Necessary	No comments with merit	Necessary and must be readopted	Agency must readopt
		20 NCAC 07 .0504	SPECIAL REPORTING RULE FOR DEDICATED METHOD DEPOSITORIES	Amended Eff. November 1, 2020	Necessary	No		No	Necessary	No comments with merit	Necessary and must be readopted	Agency must readopt
		20 NCAC 07 .0505	ADDITIONAL MONTHLY REPORTING REQUIREMENTS	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. April 5, 2016	Necessary	No		No	Necessary	No comments with merit	Necessary and must be readopted	Agency must readopt
	<b>SECTION .0600 - ENFORCEMENT</b>	20 NCAC 07 .0601	AUDIT	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. April 5, 2016	Necessary	No		No	Necessary	No comments with merit	Necessary and must be readopted	Agency must readopt
		20 NCAC 07 .0602	REVOCACTION	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. April 5, 2016	Necessary	No		No	Necessary	No comments with merit	Necessary and must be readopted	Agency must readopt
		20 NCAC 07 .0603	ACCELERATION OF MATURITIES	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. April 5, 2016	Necessary	No		No	Necessary	No comments with merit	Necessary and must be readopted	Agency must readopt