<table>
<thead>
<tr>
<th>Subchapter</th>
<th>Rule Section</th>
<th>Rule Citation</th>
<th>Rule Name</th>
<th>Date and Last Agency Action on the Rule</th>
<th>Agency Determination (150B-21.3A.§[11])</th>
<th>Implementations or Conformities to Federal Regulation (150B-21.3A.§[11])</th>
<th>Federal Regulation Citation</th>
<th>Public Comment Received (150B-21.3A.§[11])</th>
<th>Agency Determination Following Public Comment (150B-21.3A.§[11])</th>
<th>RRC Determination of Public Comments (150B-21.3A.§[11])</th>
<th>RRC Final Determination of Status of Rule for Report to APO (150B-21.3A§[2])</th>
<th>Chairman/Deputy Chairman/Chairman</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Section 0.1</td>
<td>0.0</td>
<td>0.0</td>
<td>0.0</td>
<td>Amended Eff. April 1, 1994</td>
<td>Necessary without substantive public interest</td>
<td>No</td>
<td>No</td>
<td>No comments with merit</td>
<td>Necessary without substantive public interest</td>
<td>No comments with merit</td>
<td>Necessary without substantive public interest and should remain in effect without further action</td>
<td>Keep in Code - Update History Note</td>
<td></td>
</tr>
<tr>
<td>Section 0.2</td>
<td>0.0</td>
<td>0.0</td>
<td>0.0</td>
<td>Amended Eff. April 1, 1994</td>
<td>Necessary without substantive public interest</td>
<td>No</td>
<td>No</td>
<td>No comments with merit</td>
<td>Necessary without substantive public interest</td>
<td>No comments with merit</td>
<td>Necessary without substantive public interest and should remain in effect without further action</td>
<td>Keep in Code - Update History Note</td>
<td></td>
</tr>
<tr>
<td>Section 0.3</td>
<td>0.0</td>
<td>0.0</td>
<td>0.0</td>
<td>Amended Eff. April 1, 1994</td>
<td>Necessary without substantive public interest</td>
<td>No</td>
<td>No</td>
<td>No comments with merit</td>
<td>Necessary without substantive public interest</td>
<td>No comments with merit</td>
<td>Necessary without substantive public interest and should remain in effect without further action</td>
<td>Keep in Code - Update History Note</td>
<td></td>
</tr>
<tr>
<td>Section 0.4</td>
<td>0.0</td>
<td>0.0</td>
<td>0.0</td>
<td>Amended Eff. April 1, 1994</td>
<td>Necessary without substantive public interest</td>
<td>No</td>
<td>No</td>
<td>No comments with merit</td>
<td>Necessary without substantive public interest</td>
<td>No comments with merit</td>
<td>Necessary without substantive public interest and should remain in effect without further action</td>
<td>Keep in Code - Update History Note</td>
<td></td>
</tr>
<tr>
<td>Section 0.5</td>
<td>0.0</td>
<td>0.0</td>
<td>0.0</td>
<td>Amended Eff. April 1, 1994</td>
<td>Necessary without substantive public interest</td>
<td>No</td>
<td>No</td>
<td>No comments with merit</td>
<td>Necessary without substantive public interest</td>
<td>No comments with merit</td>
<td>Necessary without substantive public interest and should remain in effect without further action</td>
<td>Keep in Code - Update History Note</td>
<td></td>
</tr>
<tr>
<td>Section 0.6</td>
<td>0.0</td>
<td>0.0</td>
<td>0.0</td>
<td>Amended Eff. April 1, 1994</td>
<td>Necessary without substantive public interest</td>
<td>No</td>
<td>No</td>
<td>No comments with merit</td>
<td>Necessary without substantive public interest</td>
<td>No comments with merit</td>
<td>Necessary without substantive public interest and should remain in effect without further action</td>
<td>Keep in Code - Update History Note</td>
<td></td>
</tr>
<tr>
<td>Section 0.7</td>
<td>0.0</td>
<td>0.0</td>
<td>0.0</td>
<td>Amended Eff. April 1, 1994</td>
<td>Necessary without substantive public interest</td>
<td>No</td>
<td>No</td>
<td>No comments with merit</td>
<td>Necessary without substantive public interest</td>
<td>No comments with merit</td>
<td>Necessary without substantive public interest and should remain in effect without further action</td>
<td>Keep in Code - Update History Note</td>
<td></td>
</tr>
<tr>
<td>Section 0.8</td>
<td>0.0</td>
<td>0.0</td>
<td>0.0</td>
<td>Amended Eff. April 1, 1994</td>
<td>Necessary without substantive public interest</td>
<td>No</td>
<td>No</td>
<td>No comments with merit</td>
<td>Necessary without substantive public interest</td>
<td>No comments with merit</td>
<td>Necessary without substantive public interest and should remain in effect without further action</td>
<td>Keep in Code - Update History Note</td>
<td></td>
</tr>
<tr>
<td>Section 0.9</td>
<td>0.0</td>
<td>0.0</td>
<td>0.0</td>
<td>Amended Eff. April 1, 1994</td>
<td>Necessary without substantive public interest</td>
<td>No</td>
<td>No</td>
<td>No comments with merit</td>
<td>Necessary without substantive public interest</td>
<td>No comments with merit</td>
<td>Necessary without substantive public interest and should remain in effect without further action</td>
<td>Keep in Code - Update History Note</td>
<td></td>
</tr>
</tbody>
</table>
### 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:** March 31, 2016

<table>
<thead>
<tr>
<th>Subchapter</th>
<th>Rule Section</th>
<th>Rule Citation</th>
<th>Rule Name</th>
<th>Date and Last Agency Action on the Rule</th>
<th>Agency Determination <a href="c">21.3A</a>(1)a</th>
<th>Implements or Conforms to Federal Regulation <a href="d">21.3A</a>(1)</th>
<th>Federal Regulation Citation</th>
<th>Public Comment Received <a href="c">21.3A</a>(2)</th>
<th>Agency Determination Following Public Comment <a href="c">21.3A</a>(2)</th>
<th>RRC Determination of Public Comments <a href="d">21.3A</a>(2)</th>
<th>RRC Final Determination of Status of Rule for Report to APO <a href="d">21.3A</a>(2)</th>
<th>OAH Next Steps</th>
</tr>
</thead>
</table>
| **REPORTING** | 20 NCAC 07 .0500 | REPORTING | 20 NCAC 07 .0500 | QUARTERLY REPORTING  
Amended Eff. April 1, 1994 | Necessary without substantive public interest  
No | Necessary without substantive public interest  
No | No comments with merit  
Necessary without substantive public interest and should remain in effect without further action | Keep in Code - Update History Note |
| **REPORTING** | 20 NCAC 07 .0500 | REPORTING | 20 NCAC 07 .0500 | ANNUAL REPORTING  
Amended Eff. April 1, 1994 | Necessary without substantive public interest  
No | Necessary without substantive public interest  
No | No comments with merit  
Necessary without substantive public interest and should remain in effect without further action | Keep in Code - Update History Note |
| **REPORTING** | 20 NCAC 07 .0500 | REPORTING | 20 NCAC 07 .0500 | SPECIAL CALL REPORT  
Amended Eff. April 1, 1994 | Necessary without substantive public interest  
No | Necessary without substantive public interest  
No | No comments with merit  
Necessary without substantive public interest and should remain in effect without further action | Keep in Code - Update History Note |
| **REPORTING** | 20 NCAC 07 .0500 | REPORTING | 20 NCAC 07 .0500 | SPECIAL REPORTING RULE  
FOR DEDICATED METHOD DEPOSITORIES  
Amended Eff. April 1, 1994 | Necessary without substantive public interest  
No | Necessary without substantive public interest  
No | No comments with merit  
Necessary without substantive public interest and should remain in effect without further action | Keep in Code - Update History Note |
| **REPORTING** | 20 NCAC 07 .0500 | REPORTING | 20 NCAC 07 .0500 | ADDITIONAL MONTHLY REPORTING REQUIREMENTS  
Amended Eff. April 1, 1994 | Necessary without substantive public interest  
No | Necessary without substantive public interest  
No | No comments with merit  
Necessary without substantive public interest and should remain in effect without further action | Keep in Code - Update History Note |
| **ENFORCEMENT** | 20 NCAC 07 .0600 | ENFORCEMENT | 20 NCAC 07 .0600 | AUDIT  
Readopted Eff. February 1, 1982 | Necessary without substantive public interest  
No | Necessary without substantive public interest  
No | No comments with merit  
Necessary without substantive public interest and should remain in effect without further action | Keep in Code - Update History Note |
| **ENFORCEMENT** | 20 NCAC 07 .0600 | ENFORCEMENT | 20 NCAC 07 .0600 | REVOCATION  
Amended Eff. April 1, 1994 | Necessary without substantive public interest  
No | Necessary without substantive public interest  
No | No comments with merit  
Necessary without substantive public interest and should remain in effect without further action | Keep in Code - Update History Note |
| **ENFORCEMENT** | 20 NCAC 07 .0600 | ENFORCEMENT | 20 NCAC 07 .0600 | ACCELERATION OF MATURITIES  
Amended Eff. April 1, 1994 | Necessary without substantive public interest  
No | Necessary without substantive public interest  
No | No comments with merit  
Necessary without substantive public interest and should remain in effect without further action | Keep in Code - Update History Note |