



CHAPTER 78A
ARTICLE 5 - REGISTRATION OF DEALERS AND SALESMEN

N.C.G.S. § 78A-36.

Registration requirement.

SOURCE	LAST AMENDMENT IN THIS TEXT	RETRIEVED	SOURCE FINGERPRINT
General Statutes of North Carolina, as published by the General Assembly	S.L. 2025-52, s. 2(a) — thirteenth act in the lineage	21 September 2026, 04:47 UTC	51c39690b7a5dc8ad8bd99cc - 634d8d82d0be97a4387a34e9 - 539b8a20727dfa43

§ 78A-36(a) It is unlawful for any person to transact business in this State as a dealer or salesman unless he is registered under this Chapter. No dealer shall be eligible for registration under this Chapter, or for renewal of registration hereunder, unless such dealer is at the time registered as a dealer with the Securities and Exchange Commission under the Securities Exchange Act of 1934.

§ 78A-36(b) It is unlawful for any dealer to employ a salesman unless the salesman is registered. The registration of a salesman is not effective during any period when he is not associated with a particular dealer registered under this Chapter. When a salesman begins or terminates those activities which make him a salesman, the salesman as well as the dealer shall promptly notify the Administrator.

The Administrator may by rule or order require the return of a salesman's license upon the termination of those activities which make him a salesman or, if such return is impossible, require a bond or evidence satisfactory to the Administrator of such impossibility. No salesman may be registered with more than one dealer unless each of the dealers that in which employs or associates with the salesman is under common ownership or control, or the registration is otherwise allowed by a rule or order of the Administrator.

§ 78A-36(c) Every registration expires on the thirty-first day of March of each year (or such other date not more than one year from its effective date as the Administrator may by rule or order provide) unless renewed.

END OF SECTION TEXT

APPARATUS FOLLOWS — DERIVED, NOT ENACTED

APPARATUS I
13 ACTS

Amendment lineage

The State prints this history as a single parenthetical at the foot of the section. It is reproduced verbatim in the colophon and unpacked below in order of enactment.



Nº	YEAR	ACT	CHARACTER
01	1925	c. 190, s. 19	ENACTED
02	1927	c. 149, s. 19	AMENDED
03	1955	c. 436, s. 9	AMENDED
04	1959	c. 1122	AMENDED
05	1971	c. 831, s. 1	AMENDED
06	1973	c. 1380	AMENDED
07	1975	c. 144, s. 2	AMENDED
08	1979	2nd Sess., c. 1148, s. 2	AMENDED
09	1981	c. 624, s. 4	AMENDED
10	1983	c. 817, s. 8	AMENDED
11	2001	S.L. 2001-182, s. 1	AMENDED
12	2025	S.L. 2025-45, s. 12(a)	AMENDED
13	2025	S.L. 2025-52, s. 2(a)	AMENDED

APPARATUS III

Citation

FULL SECTION

N.C. Gen. Stat. § 78A-36 (2025).

PINPOINT

N.C. Gen. Stat. § 78A-36(a) (2025).

Pinpoint keys are set in the left margin of the text rather than line numbers: subsection designators are stable across editions and paper sizes, line numbers are not.

COLOPHON

Provenance

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HISTORY PARENTHETICAL, AS PRINTED BY THE STATE

(1925, c. 190, s. 19; 1927, c. 149, s. 19; 1955, c. 436, s. 9; 1959, c. 1122; 1971, c. 831, s. 1; 1973, c. 1380; 1975, c. 144, s. 2; 1979, 2nd Sess., c. 1148, s. 2; 1981, c. 624, s. 4; 1983, c. 817, s. 8; 2001-182, s. 1; 2025-45, s. 12(a); 2025-52, s. 2(a).)

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