



CHAPTER 78C
ARTICLE 3 - REGISTRATION AND NOTICE FILING PROCEDURES OF INVESTMENT ADVISERS AND INVESTMENT
ADVISER REPRESENTATIVES

N.C.G.S. § 78C-20.

Methods of registration.

SOURCE General Statutes of North Carolina, as published by the General Assembly	LAST AMENDMENT IN THIS TEXT No amendment history on record	RETRIEVED 21 September 2026, 05:26 UTC	SOURCE FINGERPRINT c7ecd4aa43a7704b85287659 - 3eba10f4fc5eb1e29f45ac0d - 32ee963e5675fedb
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§ 78C-20(a) All applications for initial and renewal registrations or notice filings required under G.S. 78C-17 shall be filed with the Investment Adviser Registration Depository (IARD) operated by the National Association of Securities Dealers.

§ 78C-20(b) Repealed by Session Laws 2001-273, s. 4, effective October 1, 2001.

§ 78C-20(c) Nothing in this section shall be construed to prevent the exercise of the authority of the Administrator as provided in G.S. 78C-19. (1987 (Reg. Sess., 1988), c. 1098, s. 1; 2001-273, s. 4; 2002-159, s. 16.)

END OF SECTION TEXT

APPARATUS FOLLOWS — DERIVED, NOT ENACTED

APPARATUS II
2 AUTHORITIES

Authorities referenced

Every G.S. cross-reference appearing in the text of this section, in order of first appearance. Nothing is characterized; the operative language is quoted from the section itself.

REFERENCE	APPEARS IN	OPERATIVE LANGUAGE IN THIS SECTION
G.S. 78C-17	(a)	"registrations or notice filings required under"
G.S. 78C-19	(c)	"of the Administrator as provided in"

APPARATUS III

Citation

FULL SECTION

N.C. Gen. Stat. § 78C-20 (2026).

PINPOINT

N.C. Gen. Stat. § 78C-20(a) (2026).

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

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