

**G.S. 150B-21.3A Report for 04 NCAC 16, SAVINGS INSTITUTIONS DIVISION: SAVINGS INSTITUTIONS COMMISSION**

Agency - Commerce - Banking Commission

Comment Period - April 12, 2018 - June 12, 2018

Date Submitted to APO - September 24, 2018

Subchapter	Rule Section	Rule Citation	Rule Name	Date and Last Agency Action on the Rule	Agency Determination [150B-21.3A(c)(1)a]	Implements or Conforms to Federal Regulation [150B-21.3A(e)]	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 16A - GENERAL PROVISIONS	SECTION .0100 - GENERAL	04 NCAC 16A .0103	DEFINITIONS	Amended Eff. February 15, 1992	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		04 NCAC 16A .0105	RESTRICTIONS: PAYMENT OF DIVIDENDS AND REPURCHASE OF STOCK	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
	SECTION .0300 - APPLICATION TO CHANGE LOCATION OF BRANCH OFFICE OR PRINCIPAL OFFICE	04 NCAC 16C .0304	TEMPORARY CLOSING OF OFFICE	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
SUBCHAPTER 16E - OPERATION OF SAVINGS BANKS	SUBCHAPTER 16E - OPERATION OF SAVINGS BANKS	04 NCAC 16E .0103	COMPOSITION OF BOARD OF DIRECTORS	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		04 NCAC 16E .0104	BYLAWS	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
	SECTION .0300 - RECORDS AND POLICIES	04 NCAC 16E .0301	GENERAL POLICIES	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		04 NCAC 16E .0302	RETENTION, REPRODUCTION AND DISPOSITION OF RECORDS	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		04 NCAC 16E .0401	SERVICING LOANS	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
	SECTION .0400 - LOANS	04 NCAC 16E .0403	RECORDS WITH RESPECT TO LOANS	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
	SECTION .0500 - DEPOSIT ACCOUNTS	04 NCAC 16E .0502	HOLDING OF CERTIFICATE OR PASSBOOK	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
SUBCHAPTER 16F - SERVICE CORPORATIONS AND FINANCE SUBSIDIARIES		04 NCAC 16F .0101	PERMITTED ACTIVITIES	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		04 NCAC 16F .0102	INVESTMENT LIMITATION	Amended Eff. May 11, 1992	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		04 NCAC 16F .0103	DEBT LIMITATION FOR WHOLLY-OWNED SERVICE CORPORATIONS	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		04 NCAC 16F .0105	AMENDMENTS TO ARTICLES OF INCORPORATION OR BYLAWS	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
SUBCHAPTER 16G - MUTUAL TO STOCK CONVERSIONS	SECTION .0100 - SCOPE	04 NCAC 16G .0103	DEFINITIONS	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		04 NCAC 16G .0104	GENERAL REQUIREMENTS	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		04 NCAC 16G .0106	CONFIDENTIAL INFORMATION	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
	SECTION .0300 - GENERAL PRINCIPLES FOR CONVERSIONS	04 NCAC 16G .0311	REQUIRED PROVISIONS IN PLAN OF CONVERSION	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note

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		04 NCAC 16G .0312	OPTIONAL PROVISION IN PLAN OF CONVERSION	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		04 NCAC 16G .0313	RECORD DATES FOR QUALIFYING DEPOSITS	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		04 NCAC 16G .0315	MANIPULATIVE AND DECEPTIVE DEVICES	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
	<b>SECTION .0400 - NOTICE OF FILING: PUBLIC STATEMENTS: CONFIDENTIALITY</b>	04 NCAC 16G .0405	NOTICE OF FILING	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
	<b>SECTION .0500 - SOLICITATION OF PROXIES: PROXY STATEMENT</b>	04 NCAC 16G .0509	SOLICITATIONS TO WHICH RULES APPLY	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		04 NCAC 16G .0510	USE OF PROXY SOLICITING MATERIAL TO BE AUTHORIZED	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		04 NCAC 16G .0511	INFORMATION TO BE FURNISHED MEMBERS	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		04 NCAC 16G .0512	REQUIREMENTS AS TO PROXY	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		04 NCAC 16G .0513	MATERIAL REQUIRED TO BE FILED	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		04 NCAC 16G .0515	FALSE OR MISLEADING STATEMENTS	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		04 NCAC 16G .0516	PROHIBITION OF CERTAIN SOLICITATIONS	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
	<b>SECTION .0700 - PRICING AND SALE OF SECURITIES</b>	04 NCAC 16G .0712	GENERAL	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		04 NCAC 16G .0713	DISTRIBUTION OF OFFERING MATERIALS	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		04 NCAC 16G .0715	PROHIBITED REPRESENTATIONS	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		04 NCAC 16G .0717	PRICING MATERIALS	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		04 NCAC 16G .0718	ORDER FORMS FOR PURCHASE OF CAPITAL STOCK	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		04 NCAC 16G .0720	PERIOD FOR COMPLETION OF SALE	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		04 NCAC 16G .0722	EXTENSIONS OF TIME TO COMPLETE OFFERINGS	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
	<b>SECTION .0800 - PROCEDURAL REQUIREMENTS</b>	04 NCAC 16G .0823	ADDITIONAL FILING REQUIREMENTS	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note

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SUBCHAPTER 16H - SUPERVISORY ACTIONS		04 NCAC 16H .0101	DEFINITIONS	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		04 NCAC 16H .0103	NOTICE TO SAVINGS INSTITUTION	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		04 NCAC 16H .0104	ADOPTION OF PLAN	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		04 NCAC 16H .0105	APPROVAL BY ADMINISTRATOR	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		04 NCAC 16H .0108	WAIVER	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
SUBCHAPTER 16I - ACQUISITION OF CONTROL	SECTION .0700 - GENERAL	04 NCAC 16I .0702	DEFINITIONS AND OTHER TERMS	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		04 NCAC 16I .0703	STANDARDS FOR APPROVAL OF ACQUISITION: DUTIES AND CONDUCT	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
	SECTION .0800 - ACQUISITIONS	04 NCAC 16I .0801	PRIOR WRITTEN APPROVAL REQUIRED FOR ACQUISITIONS	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		04 NCAC 16I .0802	APPLICATION FEES: FILINGS	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		04 NCAC 16I .0803	CONFIDENTIAL INFORMATION	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
	SECTION .0900 - REORGANIZING STOCK ASSOCIATION INTO HOLDING COMPANY	04 NCAC 16I .0901	REQUIRED ACQUISITION APPLICATION	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		04 NCAC 16I .0902	ACQUISITION PROCEDURE	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
	SECTION .1000 - ACQUISITIONS OF STOCK ASSOCIATIONS	04 NCAC 16I .1001	REQUIRED ACQUISITION APPLICATIONS	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		04 NCAC 16I .1002	FOREIGN APPLICANTS	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		04 NCAC 16I .1003	ACQUISITION PROCEDURE	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
	SECTION .1100 - REGISTRATION: SUPERVISION: REPORTS: FILINGS: BOOKS AND RECORDS	04 NCAC 16I .1102	SUPERVISION	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		04 NCAC 16I .1103	ANNUAL REPORTS	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		04 NCAC 16I .1104	FILING AND APPROVAL: AMENDMENTS TO ARTICLES AND BYLAWS	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note

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		04 NCAC 16I .1105	REPORTS	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
	<b>SECTION .1300 - HOLDING COMPANY ACQUISITIONS</b>	04 NCAC 16I .1301	REQUIRED ACQUISITION APPLICATION	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		04 NCAC 16I .1302	ACQUISITION PROCEDURE	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
	<b>SUBCHAPTER 16K - TRUST POWERS</b>	04 NCAC 16K .0101	DEFINITIONS	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		04 NCAC 16K .0102	APPLICATIONS	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		04 NCAC 16K .0103	CONSOLIDATION OR MERGER OF TWO OR MORE SAVINGS INSTITUTIONS	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		04 NCAC 16K .0104	ADMINISTRATION OF TRUST POWERS	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		04 NCAC 16K .0105	BOOKS AND ACCOUNTS	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		04 NCAC 16K .0106	AUDIT OF TRUST DEPARTMENT	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		04 NCAC 16K .0107	FUNDS AWAITING INVESTMENT OR DISTRIBUTION	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		04 NCAC 16K .0108	INVESTMENT OF FUNDS HELD AS FIDUCIARY	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		04 NCAC 16K .0109	SELF-DEALING	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		04 NCAC 16K .0110	CUSTODY OF INVESTMENTS	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		04 NCAC 16K .0111	COMPENSATION OF SAVINGS INSTITUTION	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		04 NCAC 16K .0112	COLLECTIVE INVESTMENT	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		04 NCAC 16K .0117	REPORTS AND FEES	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
	<b>SUBCHAPTER 16L - VOLUNTARY DISSOLUTION</b>	04 NCAC 16L .0102	DISPOSITION OF ASSETS	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		04 NCAC 16L .0103	REVOCATION AND CANCELLATION OF DISSOLUTION	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note
		04 NCAC 16L .0104	WAIVER	Amended Eff. November 1, 2017	Necessary without substantive public interest	No		No	Necessary without substantive public interest	No comments with merit	Necessary without substantive public interest and should remain in effect without further action	Keep in Code - Update History Note