

| G.S. 150B-21.3A Report for 11 NCAC 11, FINANCIAL EVALUATION DIVISION | | | | | | | |
|--|---|-------------------|---|---|--|---|-----------------------------|
| Agency - Department of Insurance | | | | | | | |
| Comment Period - June 2, 2025 - August 11, 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 |
| SUBCHAPTER 11A - GENERAL PROVISIONS | SECTION .0100 - DEFINITIONS | 11 NCAC 11A .0105 | MULTIPLE-LINE INSURER | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Necessary | No | |
| | | 11 NCAC 11A .0106 | DEEMER CLAUSE OR DEEMER PROVISION | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Necessary | No | |
| SUBCHAPTER 11B - SPECIAL PROGRAMS | SECTION .0100 - SECURITIES | 11 NCAC 11B .0152 | CUSTODY AGREEMENT FOR SECURITIES AND OTHER ASSETS DEPOSITED WITH THE COMMISSIONER | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Necessary | No | |
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| | SECTION .0200 - INSURANCE HOLDING COMPANY SYSTEMS | 11 NCAC 11B .0215 | DEFINITIONS | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Unnecessary | No | |
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| | | 11 NCAC 11B .0216 | FORMS - GENERAL REQUIREMENTS | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Unnecessary | No | |
| | | 11 NCAC 11B .0217 | ACQUISITION OF CONTROL - STATEMENT FILING | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Unnecessary | No | |
| | | 11 NCAC 11B .0218 | ACQUISITION OF CONTROL - SOURCE OF CONSIDERATION | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Unnecessary | No | |
| | | 11 NCAC 11B .0219 | ANNUAL REGISTRATION OF INSURERS - STATEMENT FILING | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Unnecessary | No | |
| | | 11 NCAC 11B .0220 | ALTERNATIVE AND CONSOLIDATED REGISTRATIONS | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Unnecessary | No | |

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| | | 11 NCAC 11B .0221 | DISCLAIMERS AND TERMINATION OF REGISTRATION | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Unnecessary | No | |
| | | 11 NCAC 11B .0222 | TRANSACTIONS SUBJECT TO PRIOR NOTICE - NOTICE FILING | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Unnecessary | No | |
| | | 11 NCAC 11B .0223 | ADEQUACY OF SURPLUS | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Unnecessary | No | |
| | SECTION .0300 - VARIABLE ANNUITIES | 11 NCAC 11B .0303 | INFORMATION REQUIRED PRIOR TO APPROVAL | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Necessary | No | |
| SUBCHAPTER 11C - ANALYSIS AND EXAMINATIONS | SECTION .0100 - GENERAL PROVISIONS | 11 NCAC 11C .0104 | RECORD OF BUSINESS TO BE KEPT BY COMPANY | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Necessary | No | |
| | | 11 NCAC 11C .0105 | RETENTION OF RECORDS OF DOMESTIC INSURANCE COMPANIES | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Necessary | No | |
| | | 11 NCAC 11C .0114 | CERTIFICATES OF CONTRIBUTION | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Necessary | No | |
| | | 11 NCAC 11C .0117 | CONFLICT OF INTEREST STATEMENTS MUST BE EXECUTED ANNUALLY | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Necessary | No | |
| | | 11 NCAC 11C .0119 | MORTGAGE LOANS TO BE SOLD WITHOUT RECOURSE | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Necessary | No | |
| | | 11 NCAC 11C .0129 | FORM OF REPORTS OF EXAMINATION: FOREIGN COMPANIES | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Necessary | No | |

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| | SECTION .0300 - HEALTH MAINTENANCE ORGANIZATIONS | 11 NCAC 11C .0307 | FINANCIAL CERTIFICATION: HMO | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Necessary | No | |
| | | 11 NCAC 11C .0310 | REINSURANCE AGREEMENTS: HMO | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Necessary | No | |
| | | 11 NCAC 11C .0311 | EXPANSION OF SERVICE AREA: HMO | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Necessary | No | |
| | SECTION .0400 - MORTGAGE GUARANTY INSURANCE | 11 NCAC 11C .0405 | POLICY FORMS: MORTGAGE GUARANTY INSURANCE | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Necessary | No | |
| | | 11 NCAC 11C .0406 | APPRAISAL REVIEW FEES ARE PART OF PREMIUM CHARGE | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Necessary | No | |
| | | 11 NCAC 11C .0407 | REPORT OF POLICYHOLDERS POSITION – MORTGAGE GUARANTY INSURERS | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Necessary | No | |
| | SECTION .0500 - REINSURANCE | 11 NCAC 11C .0501 | ACCREDITED REINSURER - APPLICATION | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Unnecessary | No | |
| | | 11 NCAC 11C .0502 | ACCREDITED REINSURER - FILING REQUIREMENTS | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Unnecessary | No | |
| | | 11 NCAC 11C .0503 | ACCREDITED REINSURER - REVOCATION OF ACCREDITATION | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Unnecessary | No | |
| | | 11 NCAC 11C .0504 | TRUST AGREEMENTS QUALIFIED UNDER G.S. 58-7-26 | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Necessary | No | |

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| | | 11 NCAC 11C .0505 | LETTERS OF CREDIT | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Necessary | No | |
| | SECTION .0600 - PREMIUMS IN THE COURSE OF COLLECTION | 11 NCAC 11C .0601 | DEFINITIONS | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Necessary | No | |
| | | 11 NCAC 11C .0602 | APPLICABILITY | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Necessary | No | |
| | | 11 NCAC 11C .0603 | COMPLIANCE-TRUST ACCOUNT | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Necessary | No | |
| | | 11 NCAC 11C .0604 | COMPLIANCE: LETTER OF CREDIT | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Necessary | No | |
| | | 11 NCAC 11C .0605 | COMPLIANCE: FINANCIAL GUARANTY BOND | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Necessary | No | |
| SUBCHAPTER 11D – PROXY: LIQUIDATION AND MERGER | SECTION .0100 – GENERAL PROVISIONS | 11 NCAC 11D .0104 | APPLICABILITY OF LAWS AFTER REVOCATION OR SUSPENSION | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Necessary | No | |
| | | 11 NCAC 11D .0107 | BUSINESS IN OWN NAME: EMBLEMS: INSIGNIAS: ETC | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Necessary | No | |
| | | 11 NCAC 11D .0110 | SIZE OF TYPE OF ALL NOTICES REQUIRED TO BE PUBLISHED | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Necessary | No | |
| | | 11 NCAC 11D .0111 | CERTIFICATE OF INCORPORATION AND AMENDMENTS: APPROVAL | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Necessary | No | |

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| | | 11 NCAC 11D .0112 | DOMESTIC STOCK TITLE INS COMPANIES: CAPITAL REQUIREMENTS | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Necessary | No | |
| | | 11 NCAC 11D .0165 | EXEMPTION FROM SUBSECTION (c): DISTRIBUTION | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Necessary | No | |
| | | 11 NCAC 11D .0169 | NOTICE OF HEARING ON REVOCATION OR SUSPENSION OF LICENSE | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Necessary | No | |
| | | 11 NCAC 11D .0170 | WRITTEN ORDER: HEARING ON REVOCATION OR SUSPENSION | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Necessary | No | |
| SUBCHAPTER 11H - CONTINUING CARE FACILITIES | | 11 NCAC 11H .0101 | DEFINITIONS | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Necessary | No | |
| | | 11 NCAC 11H .0102 | LICENSE - STEPS | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Necessary | No | |
| | | 11 NCAC 11H .0103 | REVOCATION OF LICENSE | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Necessary | No | |
| | | 11 NCAC 11H .0104 | SALE OR TRANSFER OF OWNERSHIP | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Necessary | No | |
| | | 11 NCAC 11H .0105 | STANDARDIZED DISCLOSURE STATEMENT FORMAT | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Necessary | No | |
| | | 11 NCAC 11H .0106 | HEALTH AND FINANCIAL CONDITIONS FOR ACCEPTANCE | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Necessary | No | |

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| | | 11 NCAC 11H .0107 | FINANCIAL STATEMENTS AND COMPILED FIVE YEAR FORECASTS | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Necessary | No | |
| | | 11 NCAC 11H .0108 | COMPILED FIVE YEAR FORECAST | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Necessary | No | |
| | | 11 NCAC 11H .0109 | PROPOSED OR DEVELOPMENT STAGE FACILITIES | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Necessary | No | |
| | | 11 NCAC 11H .0110 | CONTRACT SPECIFICATION - LIVING UNIT | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Necessary | No | |
| | | 11 NCAC 11H .0111 | INSOLVENCY OR HAZARDOUS FINANCIAL CONDITION | Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December 20, 2015 | Necessary | No | |