

## SECTION .0500 - REPORTING

### 20 NCAC 07 .0501 QUARTERLY REPORTING

(a) In the case of the Dedicated Method, the depository shall report to each public depositor the total par value and market value of securities pledged on the last day of the calendar quarter with the escrow agent(s) to secure public deposits of the public depositor. The reports shall be submitted no later than the last day of the following month.

(b) In the case of the Pooling Method, the depository shall submit Form COLL-96, "Report on Public Deposits by Month or Quarter," to the State Treasurer no later than the last day of the month following the end of the calendar quarter. The report shall be dated on the last working day of the calendar quarter, shall summarize the accounts secured, shall summarize the amounts insured and secured at market, shall indicate the amount and percentage of excess collateral pledged, and shall be certified by an authorized officer of the depository that the statements are correct.

(c) In addition to the Quarterly Report required by Rule .0501(b) of this Rule, a depository utilizing the Pooling Method shall submit to the State Treasurer Form COLL-99, "Selected Financial Data Report," which is a report containing selected financial data contained in either the current quarterly report of condition required by the Federal Deposit Insurance Act (12 U.S.C.) or the current quarterly report required to be filed with the Federal Home Loan Bank Board, as applicable.

*History Note: Authority G.S. 115C-444(b); 147-79; 159-31(b);  
Eff. August 1, 1980;  
Readopted with Change Eff. February 1, 1982;  
Amended Eff. April 1, 1994; September 1, 1988;  
Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. April 5, 2016;  
Amended November 1, 2020.*