

**20 NCAC 03 .0713            CERTIFICATION OF A FUND**

(a) A prospective Manager may request certification of a Fund by submitting a proposal to the Secretary containing the following information:

- (1) the name of the Fund;
- (2) the address of the Fund;
- (3) the Fund prospectus;
- (4) the most recent holdings report;
- (5) the most recent annual report;
- (6) an attestation that the Fund meets, and shall maintain compliance with, the minimum Fund standards set forth in Rule .0712 of this Section;
- (7) if the Fund is seeking certification as a Money Market Mutual Fund, an attestation that the Fund meets, and shall maintain compliance with, the definition in Rule .0711 of this Section of Money Market Mutual Fund; and
- (8) a list of all Broker-Dealers selling or marketing the Fund.

(b) The Commission shall review the proposal and may request supporting information as needed to assist in its review of the proposal.

(c) If the Commission certifies a Fund, it shall certify the Fund as a "Certified Money Market Mutual Fund," if the Fund is a Money Market Mutual Fund as defined in Rule .0711 of this Section; otherwise, it shall certify the Fund as a "Certified Mutual Fund."

(d) Certification is effective the day after the Commission adopts a resolution certifying the Fund and is effective until termination of certification pursuant to Rule .0715 of this Section.

*History Note:*     *Authority G.S. 159-3(f); 159-30(c)(8);  
                          Eff. October 1, 2023.*