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| **Checklist 13—Legal** | **Project Assigned To** | **Date Completed** | **Completed By** | **Notes** |
| Coordinate preparation and filing of Petition and Order of Receivership with various responsible parties (e.g., Department of Insurance, attorney general and/or outside counsel). |  |  |  |  |
| If proceedings are agreed to by insurer:* Obtain Corporate Resolution by insurer’s board of directors or shareholder(s)
* Include Consent to Order of C-R-L
* Include Waiver of Service of Process
* Include Waiver of Right to Appear-Answer-Appeal
 |  |  |  |  |
| Prepare Petition/Order setting bar dates and claim filing procedures, if applicable. |  |  |  |  |
| Identify affiliates. |  |  |  |  |
| Distribute copies of the order to receiver’s staff. |  |  |  |  |
| Serve certified copy of the order on:* Insurer officers and directors
* Insurer affiliates
* Insurer attorneys
* Plaintiff attorneys
* Guaranty associations
* Other key people
 |  |  |  |  |
| Coordinate with Accounting to prepare letters for financial institutions for service of order. |  |  |  |  |
| Prepare any publication notice that might be required. |  |  |  |  |
| Secure corporate administrative records. |  |  |  |  |
| Secure corporate/minute books and corporate seal(s). |  |  |  |  |
| Obtain or create list of all directors, executive officers and stockholders of insurer, all subsidiaries, and, if possible, affiliates. |  |  |  |  |
| Secure contracts and agreements. |  |  |  |  |
| Secure legal records. |  |  |  |  |

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| **Checklist 13—Legal** | **Project Assigned To** | **Date Completed** | **Completed By** | **Notes** |
| Identify all pending litigation involving the insurer and determine appropriate actions. |  |  |  |  |
| Obtain list of lawyers representing/pursuing the insurer:* Contact and notify of new procedures as appropriate
* Establish new reporting lines and oversight procedures
 |  |  |  |  |
| Review insurer’s insurance policies and determine applicable contractual limitations period for filing a notice of claim. (change in control) |  |  |  |  |
| File notice of claim as appropriate. |  |  |  |  |
| Deliver notice of the receivership order’s stay provision and/or other injunctive relief to litigation parties. |  |  |  |  |
| Begin preparing plan for rehabilitation/liquidation. |  |  |  |  |
| Draft Petition/Order Approving Plan of Rehabilitation/Liquidation. |  |  |  |  |
| Draft Plan for Early Access Distribution of Assets to Guaranty Associations, if appropriate. |  |  |  |  |
| Draft Petition/Order for Approval of Early Access Distribution, if appropriate. |  |  |  |  |
| File order with Recorder of Deeds as may be appropriate. |  |  |  |  |
| File lis pendens with county where real property is located. |  |  |  |  |
| ***Legal Records*** |  |  |  |  |
| Determine the approximate number of files housed at each branch, outside facility or other location and arrange for an inventory to be taken. |  |  |  |  |