

Draft date: 6/24/26

Virtual Meeting

NATIONAL TREATMENT AND COORDINATION (E) WORKING GROUP

Wednesday, June 24, 2026

3:00 – 4:00 p.m. ET / 2:00 – 3:00 p.m. CT / 1:00 – 2:00 p.m. MT / 12:00 – 1:00 p.m. PT

ROLL CALL

Kelly Hopper, Co-Chair	Missouri	Ursula Almada	New Mexico
Cameron Piatt, Co-Chair	Ohio	Paul Throckmorton	Oregon
Cindy Hathaway	Colorado	Steve Yerger/Diana L. Sherman	Pennsylvania
William Mitchell	Connecticut	Amy Garcia/Andrew Guerrero	Texas
Jane Nelson	Florida	Jason Carr	Washington
Matthew Stewart/Lorie Gasior	Louisiana	Amy Malm/Mark McNabb	Wisconsin
Steve Matthews	Montana	Tracy McEwen	Wyoming

NAIC Committee Support: Bon Rector/Mandy Budgett

AGENDA

1. Welcome—*Cameron Piatt (OH)*

2. Review Draft of 2026 Charges—*Cameron Piatt (OH)*
 The National Treatment and Coordination (E) Working Group will:
 - A. Increase utilization and implementation of the Company Licensing Best Practices Handbook.
 - B. Encourage synergies between corporate changes/amendments and rate and form filing review and approval to improve efficiency.
 - C. Continue to monitor the usage and make necessary enhancements to the Form A Database.
 - D. Maintain educational courses in the existing NAIC Insurance Regulator Professional Designation Program for company licensing regulators.
 - E. Make necessary enhancements to promote electronic submission of all company licensing applications.

3. Receive Referral from the Financial Regulation and Accreditation (F) Committee
 March 23, 2026 – Consideration of Companies with Unique or Restricted Licenses in Licensing Process—*Kelly Hopper (MO)* Attachment 1

4. Receive Referral from the Financial Condition (E) Committee November 20, 2025 – Enhanced Cybersecurity Considerations—*Kelly Hopper (MO)* Attachment 2
5. Hear Appian and Other Updates—*Cameron Piatt (OH)*
- A. Recent Enhancements
 - B. Upcoming Enhancements
 - C. Decommissioning of the UCAA Legacy Portal
 - D. Third-Party Vendor List
6. Discuss the Need for Volunteers—*Cameron Piatt (OH)*
- A. Formation of a team to revise the Best Practices Handbook
 - The Best Practices Handbook was last revised August 14, 2021, and needs updates due to changes with private equity or PE-like ownership structures and changes to the application.
 - Review and update of the RECAP program and Speed to Market programs.
 - Add a redomestication section.
 - Address any other areas identified during review.
7. Discuss Any Other Matters Brought Before the Working Group—*Kelly Hopper (MO)*
- A. Reminder: Upcoming Webinar – NAIC Rapid Growth Annuity Writer Webinar for Licensing and Financial Analysts, Sept. 1 from 1:00–2:30 p.m. CT—*Kelly Hopper (MO)*
8. Adjournment

MEMORANDUM

TO: Kelly Hopper (MO), Co-chair, National Treatment and Coordination (E) Working Group
Cameron Piatt (OH), Co-chair, National Treatment and Coordination (E) Working Group

FROM: Commissioner Sharon P. Clark (KY), Chair, Financial Regulation Standards and Accreditation (F) Committee

DATE: Mar. 23, 2026

RE: Consideration of Companies with Unique or Restricted Licenses in Licensing Process

The Financial Regulation Standards and Accreditation (F) Committee (Committee) believes that additional transparency and guidance would be appropriate as part of the licensing process to ensure consistent regulatory understanding among states for company types that may have unique or restricted licenses (e.g., international insurers, captive insurers, or other types of insurers that have received an insurance authorization from a U.S. jurisdiction, but do not qualify as fully admitted carriers, etc.).

Specifically, the Committee requests that the National Treatment and Coordination (E) Working Group consider potential enhancements to the *NAIC Company Licensing Best Practices Handbook* and the Uniform Certificate of Authority Application (UCAA) to: 1) clearly identify these entities as part of the licensing process, and 2) develop additional review guidance or considerations that may be relevant when a Department of Insurance receives an application from one of these entities. Additional guidance would assist regulators in understanding the regulatory framework applicable to these entities and in identifying considerations that may arise when reviewing applications from these entities.

If there are any questions regarding this referral, please contact me or NAIC Committee Support Staff (Bailey Henning at bhenning@naic.org) for clarification.

MEMORANDUM

TO: Kelly Hopper (MO), Co-Chair, National Treatment and Coordination (E) Working Group
Cameron Piatt (OH), Co-Chair, National Treatment and Coordination (E) Working Group

FROM: Nathan Houdek (WI), Chair, Financial Condition (E) Committee
Michael Wise (SC), Co-Vice Chair, Financial Condition (E) Committee
Justin Zimmerman (NJ), Co-Vice Chair, Financial Condition (E) Committee

DATE: November 20, 2025

RE: Enhanced Cybersecurity Considerations

Due to lessons learned from regulatory investigations of recent cybersecurity events impacting insurance groups, the Financial Condition (E) Committee asks the National Treatment and Coordination (E) Working Group to consider potential enhancements to the NAIC's *Company Licensing Best Practices Handbook* guidance in the following areas:

- Guidance for considering the potential impact of cybersecurity exposures and system integration plans on the regulatory review of Form A (Change of Control or Merger/Acquisition) applications.
 - Given that Form A review procedures are also included in the NAIC's *Financial Analysis Handbook*, coordination with the Financial Analysis Solvency Tools (E) Working Group is encouraged in developing additional guidance in this area.

If there are any questions regarding the proposed enhancements, please contact me or NAIC staff (Dan Daveline at ddaveline@naic.org) for clarification. Thank you for your consideration of this referral.