National Treatment and Coordination (E) Working Group

Company Licensing Proposal Form

	DATE: 7/2/2019	**FOR NAIC USE ONLY**	
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EMAIL ADDRESS:	**jbarr@naic.org**	**DISPOSITION**	
ON BEHALF OF:	**NTCWG**	[ ] ADOPTED	
NAME:		[ ] REJECTED	
TITLE:		[ ] DEFERRED TO	
AFFILIATION:		[ ] REFERRED TO OTHER NAIC GROUP	
ADDRESS:		[ ] EXPOSED	
		[ ] OTHER (SPECIFY)	

IDENTIFICATION OF SOURCE AND FORM(S)/INSTRUCTIONS TO BE CHANGED

[ ] UCAA Forms [X] UCAA Instructions [ ] Enhancement to the Electronic Application Process
[ ] Company Licensing Best Practices HB

Forms:

[ ] Form 1 – Checklist [ ] Form 2 - Application [ ] Form 3 – Lines of Business
[ ] Form 6- Certificate of Compliance [ ] Form 7 – Certificate of Deposit [ ] Form 8 - Questionnaire
[ ] Form 8C- Corporate Amendment Questionnaire [ ] Form 11-Biographical Affidavit [ ] Form 12-Uniform Consent to Service of Process [ ] Form 13- ProForma [ ] Form 14- Change of Address/Contact Notification
[ ] Form 15 – Affidavit of Lost C of A [ ] Form 16 – Voluntary Dissolution [ ] Form 17 – Statement of Withdrawal

DESCRIPTION OF CHANGE(S)

To clarify that all lines of business the Applicant Company is currently transacting must be included on Form 3, and for the lines requested the Applicant Company must currently be authorized in their domiciliary state.

REASON OR JUSTIFICATION FOR CHANGE **

The current wording was confusing, whereas the Applicant Company thought they only need to provide the authorized lines for their domiciliary state.

Additional Staff Comments:

**** This section must be completed on all forms.** **Revised 01-2019**

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Corporate Amendments Application Section I

Filing Requirements (Adding and/or Deleting Lines of Business)

This section provides a guide to understanding the focus of each document of the Corporate Amendment Application. However, there typically are multiple purposes for documents. Therefore, it is important that applications be complete.

All documents submitted in support of the application must be current. However, in certain instances, some states have limited latitude to accept older documents. Please review the state specific requirements in the state charts and state-specific requirements prior to contacting the states individually if there are questions about a specific document.

All forms required for the Corporate Amendment Application are located under the Corporate Amendment Application tab in the UCAA Forms Section. For electronic application submissions, required forms are provided for the application change type selected, therefore it is important to read the instructions prior to starting an electronic filing to ensure the necessary corporate amendment change type is selected and the appropriate forms are provided.

Table of Contents/ Application Requirements

1. Application Form and Attachments
2. Filing Fee
3. Articles of Incorporation
4. Bylaws
5. Minimum Capital and Surplus Requirements
6. Statutory Deposit Requirements
7. Plan of Operation
8. Statutory Membership(s)
9. Certificate of Compliance
10. State-Specific Information
11. Deleting Lines of Business

1. Application Form and Attachments - Item 1 of the application

The application must identify all lines of insurance that the Applicant Company is currently authorized and specify the ~~requesting~~ lines of authority to add or delete from an existing Certificate of Authority, as identified ~~by the Applicant Company's~~ in the plan of operation. The Applicant Company must be authorized in their domiciliary state for the lines of business requested to add in the application. The Applicant Company should review the Seasoning Requirements chart for each submission state. For hard-copy filings submit a completed Checklist (Form 1C), and an original executed Application Form (Form 2C), completed Lines of Business (Form 3) and a copy of the Applicant Company's original Certificate of Authority or an affidavit of lost Certificate of Authority (Form 15) as Item 1 of the application. A cover letter may be included. The Checklist is automatically created in the electronic application and cannot be edited.

Expansion Application Section II
Filing Requirements

This section provides a guide to understanding the focus of each document of the Expansion Application. However, there typically are multiple purposes for the documents. Therefore, it is important that applications be complete.

All documents submitted in support of the application must be current. However, in certain instances, some states have limited latitude to accept older documents, although generally no more than five (5) years old. Please contact the states individually if there are questions about a specific document.

All forms required for the Expansion Application are located under the Expansion Application tab in the UCAA Forms Section.

Table of Contents

1. Expansion Application Form
2. Filing Fee
3. Minimum Capital and Surplus Requirements
4. Statutory Deposit Requirements
5. Name Approval
6. Plan of Operation
7. Holding Company Act Filings
8. Certificate of Compliance
9. Reports of Examination
10. Statutory Memberships
11. Public Records Package
12. NAIC Biographical Affidavits
13. Uniform Consent to Service of Process
14. State-Specific Information

1. Application Form and Attachments

The application must identify all lines of insurance (Form 3) the Applicant Company is currently licensed to transact ~~in its state of domicile~~ and all lines of insurance the Applicant Company is requesting authority to transact, as identified by the Applicant Company's plan of operation. The Applicant Company must be authorized in their domiciliary state for the lines of business requested in the application. Submit a completed checklist (Form 1E) and original executed application form (Form 2E) as Item 1 of the application. A cover letter may be included as a component of Item 1 of the application. The Applicant Company should review the Seasoning Requirements chart for each state where the company plans to expand.