Uniform Certificate of Authority Application (UCAA)
Corporate Amendments Application
Application to Amend Certificate of Authority

To the Insurance Commissioner/Director/Superintendent of the State of:

(Check the appropriate states in which the Applicant Company is applying.)

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<th>Alabama</th>
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(Check the appropriate states in which the Applicant Company is applying.)

The Uniform Certificate of Authority Corporate Amendments Application can be used to file more than one change in the same submission. The Applicant Company should mark all changes being filed on the application form and submit all items required for those changes in one package.

(Check the type of transaction for which the Applicant Company is applying.)

- [ ] Add Lines of Business: The undersigned Applicant Company hereby certifies that the lines of insurance as indicated on the Lines of Insurance Form 3 are all lines of business that (a) the Applicant Company is currently authorized to transact, (b) are currently transacted, and (c) which the Applicant Company is applying to transact.

- [ ] Name Change
- [ ] Delete Lines of Business
- [ ] Redomestication of a Foreign Insurer
- [ ] Change of Statutory Home Office Address
- [ ] Merger of Two or More Foreign Insurers
- [ ] Pre-notification of Change of Control of Foreign Insurer
- [ ] Notification of Change of Control of Foreign Insurer
- [ ] Amended Articles of Incorporation
- [ ] Amended Bylaws

Name of Non-Surviving Insurer and Codec
Applicant Company Name: ________________________________

Effective Date of Name Change: ________________________

Previous Name of Applicant Company: ________________________

New Name of Applicant Company: ________________________

Did the Applicant Company experience a merger or an owner change prior to the name change?

Yes ☐ No ☐

If yes, please be sure an application is also submitted for the merger and/or ownership change transaction.

Effective Date of Change of Control of Foreign Insurer: ____________

Previous Group Name: ___________________________ Group Code: ____________

New Group Name: ___________________________ Group Code: ____________

Has the Applicant Company’s designee to appoint and remove agents changed as a result of this corporate amendment?

Yes ☐ No ☐

If yes, please note the new designee (name natural persons only): ________________________________

Effective Date of Redomestication: ____________

Previous State: ____________ New State: ____________

Effective Date of Statutory Home Office Address Change: ____________

Previous Statutory Home Office Address: ____________________________ Phone: ____________ Fax: ____________

New Statutory Home Office Address: ____________________________ Phone: ____________ Fax: ____________

Previous Administrative Office Address: ____________________________ Phone: ____________ Fax: ____________

New Administrative Office Address: ____________________________ Phone: ____________ Fax: ____________

Previous Mailing Address: ____________________________ Phone: ____________ Fax: ____________

New Mailing Address: ____________________________ Phone: ____________ Fax: ____________

If a merger of two or more foreign insurers:

Effective Date of Merger: ____________

Current Name of Surviving Applicant Company: ____________

NAIC No.: ____________ Group Code: ____________

Proposed New Name of Surviving Applicant Company: ____________

NAIC No.: ____________ Group Code: ____________

Name of Non-Surviving Insurer: ____________

NAIC No.: ____________ Group Code: ____________
Applicant Company Name: ________________________________ NAIC No. ____________________

FEIN: ____________________

Name of Surviving Insurer: NAIC No.: __________ Group Code: __________

Surviving Applicant Company’s Home Office Address:
__________________________________________________________________________________________________

Surviving Applicant Company’s Administrative Office Address:
__________________________________________________________________________________________________

Surviving Applicant Company’s Mailing Address:
__________________________________________________________________________________________________

Surviving Applicant Company’s Telephone:________________________ Fax: _______________________________

Are these addresses the same as those shown on the Applicant Company’s Annual Statement?

Yes [ ] No [ ]

If not, indicate why: ____________________________________________________________________________

Date of Last Market Conduct Examination: ________________

Has the Applicant Company had an application for these lines of business refused by this or any other state prior to the date of this application?

Yes [ ] No [ ]

If yes, give full explanation in an attached letter.

The following information is required of the individual (Applicant Company employee or paid consultant) who is authorized to represent the Applicant Company before the department.

Name: _____________________________________________________________________________________________

Title: ______________________________________________________________________________________________

Mailing Address: ____________________________________________________________________________________

E-Mail Address: ___________________________________________ Phone: _____________ Fax: ______________

If the representative is not employed by the Applicant Company, please provide a company contact person in order to facilitate requests for detailed financial information.

Name ______________________________________________________________________________________________

Title _______________________________________________________________________________________________

Mailing Address _____________________________________________________________________________________

E-Mail Address: ___________________________________________ Phone: _____________ Fax: ______________

Please provide a listing of all other applications filed by the Applicant Company, or any of its affiliates, which are pending before the Department:
__________________________________________________________________________________________________

__________________________________________________________________________________________________

A Certificate of Compliance from the Applicant Company's state of domicile (for foreign applicants) and the Applicant Company's original Certificate of Authority or an Affidavit of Lost Certificate of Authority must accompany this application. (not applicable for Change of Control, Amended Articles of Incorporation or Amended Bylaws.)
Applicant Company Officers’ Certification and Attestation

One of the three officers (listed below) of the Applicant Company must read the following very carefully before signing:

1. I hereby certify, under penalty of perjury, that I have read the application, that I am familiar with its contents, and that all of the information, including the attachments, submitted in this application is true and complete. I am aware that submitting false information or omitting pertinent or material information in connection with this application is grounds for license discipline or other administrative action and may subject me, the Applicant Company, or both, to civil or criminal penalties.

2. I acknowledge that I am familiar with the insurance laws and regulations of the jurisdictions in which the Applicant Company is licensed or to which the Applicant Company is applying for licensure.

3. I acknowledge that I am the ____________________of the Applicant Company, am authorized to execute and am executing this document on behalf of the Applicant Company.

4. I hereby certify under penalty of perjury under the laws of the applicable jurisdictions that all of the forgoing is true and correct, executed at ________________________________.

__________________________________  ________________________________
Date                                           Signature of President

__________________________________  __________________________________
Date                                           Full Legal Name of President

__________________________________  ________________________________
Date                                           Signature of Secretary

__________________________________  __________________________________
Date                                           Full Legal Name of Secretary

__________________________________  ________________________________
Date                                           Signature of Treasurer

__________________________________  __________________________________
Date                                           Full Legal Name of Treasurer

__________________________________  __________________________________
Applicant Company

__________________________________  ________________________________
Date                                           Signature of Witness

__________________________________  __________________________________
Date                                           Full Legal Name of Witness