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Company Licensing Working Group

The **National Treatment and Coordination (E) Working Group** is co-chaired by Debbie Doggett, Missouri Insurance Department and Linda Johnson, Wyoming Department of Insurance. This group was established to address and review the Company Licensing Model Act #320 with regards to the Primary and Expansion applications, along with the hard copy requirements for the electronic UCAA format, and other issues with the electronic UCAA tool as needed. The **Biographical Third-Party Review (E) Subgroup** is chaired by Cameron Piatt, Ohio Department of Insurance and was established to vet the background reporting agencies listed on the UCAA website; continually examine the biographical affidavit requirements; background investigation report guidelines and processes. Any questions or concerns contact Jane Barr jbarr@naic.org or Crystal Brown cbrown@naic.org. Proposal for UCAA forms and instructions are posted on the UCAA home page. All suggested changes should utilize the proposal form and be sent via email to Jane Barr jbarr@naic.org. For updates to the state charts or the UCAA webpage email Crystal Brown cbrown@naic.org.

Important Information

NOTE: Forms will be accepted up to one year from the signature date, the most recent form should be utilized, check the revision date on each form and verify the posting date, listed below. States can accept prior versions as long as the application is submitted prior to the posting date, with the exception of Form 6 – Certificate of Compliance and Form 7 – Certificate of Deposit which may only be accepted up to 6 months or 1 year depending on the state’s requirement. Please check the **Certificate of Compliance and Certificate of Deposit Requirements chart** for each state’s requirements. The copyright date of the form should not be older than the revision date. **The electronic application is automatically updated to the most recent copyright and revision date of each form.** Contact Jane Barr jbarr@naic.org for all training requests regarding the UCAA application and the Form A Database.

| Website and Electronic Application Updates | |
|---|---------------------------|
| <u>Description of Change</u> | <u>Posted Date</u> |
| Corporate Amendment Requirements – The Application Progress page was updated to validate requirements each corporate amendment type. | 04/12/2019 |
| Form 12 – the language in the electronic application for the question “Organized under the laws of” was revised to match the hard copy of Form 12. | 04/12/2019 |
| Form 14 – External Healthcare Review Contact was added; New Mailing Address phone number description was updated to “Main Administrative Office Phone Number.” | 04/12/2019 |
| The UCAA Primary, Expansion and Corporate Amendment Instructions were changed from HTML format to PDF format on the UCAA webpage. | 04/02/2018 |
| The Application Selection Page in the electronic application was revised. For more detail, refer to the UCAA Industry User Guides on the UCAA webpage | 12/08/2017 |
| Corporate Amendment Attachments – Section references were updated based on changes to the Corporate Amendment instructions. | 09/15/2017 |
| Form 12 – a separate field for the authorization date was added to the electronic application. | 04/21/2017 |
| Form 2C – was modified to validate the application information according to the change type selected. All required (*) information must be completed before the application can be submitted. | 03/17/2017 |
| The Letter of Good Standing Templates for Life and Non-Life companies has been added to the Company Licensing page on StateNet | 02/28/2017 |
| Form 2C – A dropdown field to add the non-surviving entity’s cocode has been added to page 1 for a Merger of Two or More Foreign Insurers | 12/09/2016 |
| Form 2C – The question “Has the Applicant Company’s designee to appoint and remove agents changed as a result of this corporate amendment?” was added to the electronic application. | 08/19/2016 |
| Form 12 – Uniform Consent to Service of Process was added as a stand-alone application to the | 03/26/2016 |

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| UCAA electronic application. | | |
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| New links were added to the UCAA webpage for Company Licensing Events and UCAA Definitions. | | 04/03/2015 |
| Instructions and Best Practices | | |
| <u>Instructions/ Best Practices</u> | <u>Description of Change</u> | <u>Revision Date</u> |
| Instructions | EDITORIAL CHANGE: The sentence “California, Kentucky and New York require two (2) complete copies.” was removed from the Expansion instructions and these sentences were removed from the Corporate Amendment instructions “Louisiana and New York require two (2) complete copies. California requires two (2) complete copies for each change.” | 12/09/2019 |
| Instructions | The Expansion Instructions Section 1 were revised to clarify that the Applicant Company must be authorized in their domiciliary state for the lines of business requested in the application. The Corporate Amendment Adding and/or Deleting Lines of Business Instructions were revised to clarify that the Applicant Company must identify the lines of business it is currently authorized to transact and specify which lines of authority to add or delete. | 12/09/2019 |
| Best Practices | The Best Practices were updated to include changes for Risk-Based Prioritization to align with the <i>Financial Analysis Handbook</i> ; Part D Organization Licensing Standards; changes in the NAIC <i>Insurance Data Security Model Law</i> (#668); biographical affidavit review process; and the addition of the corporate amendment change type Statement of Withdrawal/Complete Surrender and the Appendix E – Speed to Market. | 12/09/2019 |
| Instructions | Added Statement of Voluntary Dissolution Instructions to the Corporate Amendment Instructions. | 04/08/2019 |
| Best Practices | Best Practices were added to Primary, Expansion and Corporate Amendment – NAIC Biographical Affidavit sections for utilizing regulatory tools in the review of the Biographical Affidavit. | 04/08/2019 |
| Instructions | The Primary, Expansion and Corporate Amendment instructions were revised for the Biographical Affidavit to add “Each question on the biographical affidavit must have a response. If an answer is “None”, then so state. Incomplete biographical affidavits could delay the background investigation report and result in a delay of the application review by the state.” | 04/08/2019 |
| Instructions | EDITORIAL CHANGE: The email address to notify the NAIC of a merger, name change, change of control or redomestication has been changed from FDRCCREQ@NAIC.ORG to jheinz@naic.org . | 08/06/2018 |
| Instructions | The Corporate Amendment Adding/Deleting Lines of Business Instructions were revised to provide instruction that the Applicant Company should not apply for or retain any lines of business that they are not authorized to write in their domiciliary state. | 08/06/2018 |
| Instructions/ Best Practices | The Primary, Expansion and Corporate Amendment instructions were revised to allow for acceptance of the biographical affidavit for six months from the original signature date and a new background report for updated biographical affidavit. Effective 1/1/2019 signatures on the biographical affidavit must be within 6-months of the application submission date. | 03/26/2018 06/22/2018 |

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| Instructions | The Corporate Amendment and Expansion instructions for biographical affidavits were modified add a Disclaimer of Control requirement if the individual with 10% or more beneficial ownership in the Applicant Company or the Applicant Company's ultimate controlling person does not file a biographical affidavit. | 03/26/2018 |
| Instructions | The Expansion and Corporate Amendment Instructions (Adding/Deleting Lines of Business and Merger) were revised to add references to review the Seasoning Requirements prior to submitting the application. | 03/26/2018 |
| Best Practices | Primary Application Review Checklist – revisions were made to Item 2 to clarify biographical affidavit requirements and the requirements for appointed actuaries and appointed CPA. | 12/04/2017 |
| Instructions | The Primary, Expansion and Corporate Amendment instructions were revised to specify that the application can be submitted in hard-copy or filed electronically. References to other tools on the UCAA website were added and references to a manual that is no longer provided were removed. | 08/08/2017 |
| Best Practices | Appendix D – Form A Review Best Practices were added to the Handbook and references to the new Appendix were added. | 08/08/2017 |
| Best Practices | Best Practices were added for the Review of the Plan of Operations (Proforma, Financial Statements, Narrative/Business Plan and Questionnaire) | 04/10/2017 |
| Best Practices | Best Practices were added for the Uniform Consent to Service of Process application. | 12/12/2016 |
| Instructions | Instructions were added for the Uniform Consent to Service of Process application. | 12/12/2016 |
| Best Practices | The Corporate Amendment Application – Redomestication was revised in Section 1 for Form 3 and the Lines of Business Matrix | 12/12/2016 |
| Instructions | The Corporate Amendment instructions were revised for a Merger of Two or More Foreign Insurers for the non-surviving entity. | 12/12/2016 |
| Best Practices | The Primary Application Review Checklist was added to Appendix A of the Best Practices as well as references to the checklist in the Primary Application Section. | 08/28/2016 |
| Best Practices | The Corporate Amendment Application – Merger of Two or More Foreign Insurers were revised for Form 3. | 08/28/2016 |
| Instructions | The Corporate Amendment Instructions for a Merger of Two or More Foreign Insurers were revised in Step 2 to include a reference for referring to the UCAA FAQs-General. | 08/28/2016 |
| Instructions | <p>The UCAA Primary, Expansion and Corporate Amendment Application Instructions were updated on the UCAA webpage.</p> <ul style="list-style-type: none"> • The following changes were made to the Primary, Expansion and Corporate Amendment instructions: <ul style="list-style-type: none"> ○ Reference for “Applicant Company” was added. ○ The “How to File” section was updated. ○ Plan of Operation/Proforma Instructions were updated • The reference for “Holding Company Act Filings” and instructions were updated for the primary and expansion application. • The Statutory Deposit Certificate instructions were updated for the expansion and corporate amendment application. | 11/18/2014 |

| Definitions and FAQ's | | |
|---------------------------------|---|---------------------------|
| <u>Definitions/FAQ's</u> | <u>Description of Change</u> | <u>Posted Date</u> |
| 02/07/2020 | Editorial: Biographical Affidavit (Form 11) questions 16 were modified. | 02/07/2020 |

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| FAQs | EDITORIAL: A clarification was added to the Form 11 – Biographical Affidavit regarding the formatting of the form due to lengthy or detailed responses. | 01/07/2020 |
| FAQ's | An FAQ was added to clarify how to complete the “Specify Purpose for Completion” section on page 1 and page 7 on the Biographical Affidavit (Form 11). | 12/16/2016 |
| FAQ's | Editorial: Biographical Affidavit (Form 11) questions 20 and 21 were modified. | 08/15/2019 |
| FAQ's | The General, Biographical Affidavit, Proforma and Electronic Application Frequently Asked Question were combined into one document. FAQ's were modified and added. | 01/14/2019 |
| FAQ's | Questions 17 and 18 were added to the General FAQ's regarding “Adding and Deleting Lines of Business.” | 06/26/2018 |
| FAQ's | The Biographical Affidavit FAQ's were revised to allow for acceptance of the biographical affidavit for six months from the original signature date and a new background report for updated biographical affidavit. Effective 1/1/2019 signatures on the biographical affidavit must be within 6-months of the application submission date. | 04/02/2018 06/22/2018 |
| Definitions | The definition for “NAIC Biographical Affidavit” was revised from “not more than one year” to “not more than six months” Effective 1/1/2019 signatures on the biographical affidavit will be required to be within 6 months of the application submission. | 04/02/2018 06/22/2018 |
| FAQ's | The Biographical Affidavit FAQ's – Question 1 and 3 were revised for the clarification of key managerial personnel who are required to file the biographical affidavit and language was added to require Disclaimer of Affiliation/Control for individuals with 10% or more beneficial ownership in the Applicant Company or the Applicant Company's Ultimate Controlling Person. | 04/02/2018 |
| Definitions | Modification to add “cyber security” to the “Key Persons in Control Functions” definition was adopted by the NTC(E)WG. | 12/08/2017 |
| Definitions | Modifications to “State Charts” and “State-Specific Information” definitions were adopted by NTC(E)WG. | 09/25/2017 |
| FAQ's | FAQ's were developed for the Proforma and posted to the website | 07/26/2017 |
| FAQ's | A new FAQ was added to the FAQ's – Biographical Affidavits for memberships | 06/22/2017 |
| FAQ's | FAQ's 13- 16 were revised and added for a Corporate Amendment – Merger of Two or More Foreign Insurers. | 12/09/2016 |
| Definitions | The definition for “Admitted” was revised. | 10/14/2016 |
| FAQ's | A new FAQ was added to the FAQ's – General for filing a merger application when the surviving company and non-surviving company are not authorized for the same lines of business. | 10/14/2016 |
| Definitions | Definitions adopted by the NTC(E)WG for Alien Insurer, Domestic Insurer, Domiciliary State and Foreign Insurer were added to the UCAA Definitions on the UCAA webpage. | 01/12/2016 |

| Form 1 - Checklist | | |
|---|---|--------------------|
| Description of Change | Revision Date/ Adoption Date | Posted Date |
| Form 1C, 1E & 1P were revised to allow for acceptance of the biographical affidavit for six months from the original signature date | 03/26/2018 | 04/02/2018 |
| Form 1C, & 1E were updated to add clarification to key managerial personnel who are required to complete a biographical affidavit and language was added to require a Disclaimer of Control be filed for individuals with 10% or more | 03/26/2018 | 04/02/2018 |

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| beneficial ownership in the Applicant Company or the Applicant Company's Ultimate Controlling Person. Form 1P was update to add clarifying language for those individuals who are defined as key managerial personnel. | | |
| Form 1C & 1E – Sentence was added that the Form cannot be edited for electronic filings and additional items to the application should be attached via the UCAA portal or mailed directly to the state. Form 1C – Item 12 and 14 detail descriptions were revised. | 12/04/2017 | 03/22/2018 |
| Form 1C – Section references were updated based revisions to the Corporate Amendment instructions. | 08/08/2017 | 09/15/2017 |
| Form 1C, Item 1. Application Form was updated to include Section VIII in ” Original Certificate of Authority or an Affidavit of Lost Certificate of Authority (Form 15) (not applicable for Sections VIII, IX and X)” | 11/18/2014 | 10/14/2016 |
| Form 1E & Form 1P - Language was added to the checklists for consistency with the instructions. The change adds clarifying language to identify the requirements for Reports of Examination section. | 03/30/2015 | 04/17/2015 |
| Form 1C – Section VIII was added to the Plan of Operation and revised the Certificate of Deposit for Statutory Deposit Requirements section. <i>Note: States should accept both the 11/18/14 and 12/19/14 revision date for Form 1C for applications submitted on or before 8/3/16.</i> | 12/19/2014 Revision date should have been 11/18/14 | 12/19/2014 |
| Form 1E & 1P – Revisions were made to 7. Holding Company Act Filings and Form 1C, 1E & 1P Applicant Company reference was added. | 11/18/2014 | 12/4/2014 |

Form 2 - Application

| <u>Description of Change</u> | <u>Revision Date/ Adoption Date</u> | <u>Posted Date</u> |
|---|-------------------------------------|--|
| Form 2C – was modified to group relevant application information according to change type selected. | 02/28/2017 | 03/17/2017 (electronic application) 05/11/2017 (word and PDF) |
| Form 2C – a text box to include the name and cocode of the non-surviving entity were added to Page 1 for a Merger of Two or More Foreign Insurer. | 08/29/2016 | 12/09/2016 |
| Form 2C – Change of City of Domicile within Domestic State/Mailing Address was changed to Change of Statutory Home Office Address | 08/29/2016 | 10/14/2016 |
| Form 2E - A new question was added that asks if the Applicant Company is a member of a group or is required to file an Own Risk Solvency Assessment (ORSA) report. | 08/18/2014 | 04/17/2015 |
| Form 2C – Added the following: previous and new group name; previous and new state for a redomestication; effective date of merger; effective date of change of control of a foreign insurer and the previous and new group code. | 08/18/2014 | 12/19/2014 |
| Form 2P – The term “Applicant Company” was added to be used uniformly in all UCAA forms. | 08/18/2014 | 12/04/2014 |

Form 3 – Lines of Business Revisions

| <u>State</u> | <u>Line of Business</u> | <u>Revision Date</u> | <u>Posted Date</u> |
|--------------|---|----------------------|--------------------|
| Washington | New lines of business were added for: Health (RCW 48.11.030); Health Maintenance Organization (RCW 48.46); Health Care Service Contractor (RCW 48.44); Limited Health | 01/22/2020 | 01/22/2020 |

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| | Service Contractor (RCW 48.44). | | |
| Arkansas | New line of business was added for: Health Maintenance Organization (23-76-102). | 01/22/2020 | 01/22/2020 |
| Utah | Headings were added for Health, Life and Property and Casualty and the lines of business were recategorized by line of business. Sublines were added for Limited Health Plan – Dental and Limited Health Plan – Vision. Updates to statute references were made to the following lines of business: Life Insurance including annuity and variable products; Credit Guarantee; Legal Expense; Liability Insurance; Marine & Transportation; Motor Club; Professional Liability excluding medical malpractice; Professional Liability including medical malpractice; Property insurance; Surety Insurance; Title Insurance; Vehicle Liability Insurance; and Workers' Compensation Insurance. | 10/24/2019 | 10/24/2019 |
| Hawaii | Added subclass lines of business to Life Insurance, Property Insurance and Marine and Transportation lines of business and updated statute references. | 07/12/2019 | 07/12/2019 |
| Hawaii | Split Property Insurance (Section 431: 1-206, HRS)* into two separate lines of business: Property Insurance, with Hurricane (Section 431: 1-206, HRS)* and Property Insurance, without Hurricane (Section 431: 1-206, HRS). | 05/07/2019 | 05/07/2019 |
| Texas | Added footnote references to Title, Mortgage Guaranty Type I and Type II lines of business. Updated footnote (h) and added footnote (i). | 04/03/2019 | 04/03/2019 |
| Pennsylvania | Editorial change to footnote: Note 3. | 04/03/2019 | 04/03/2019 |
| New York | Split (3) (i) & (ii) – A&H into two separate lines of business: (3) (i) – A&H – Other Than Non-Cancellable Disability and (3) (ii) – A&H – Non-Cancellable Disability. | 04/03/2019 | 04/03/2019 |
| Georgia | Added statute references to all lines of business, added new lines of business: Casualty [O.C.G.A. § 33-3-5(3)] and Health Maintenance Organization [O.C.G.A § 33-3-5(6) and § 33-21-1 <i>et. seq.</i>] | 04/03/2019 | 04/03/2019 |
| Alaska | Split Marine, Wet Marine & Transportation (A.S. 21.12.090) into two separate lines: Marine (A.S. 21.12.090(a)) and Wet Marine & Transportation (A.S. 21.12.090(b)) | 04/03/2019 | 04/03/2019 |
| Utah | Added a new line of business for “Property (Section 31A-1-301 (41)(a))” and revised statute references for the following lines of business: Life Insurance, including annuity and variable products, (Utah Code Ann. § 31A-1-301(9) & 31A-20-106); Accident & Health (Utah Code Ann. § 31A-1-301(1)(a)); Property Insurance (Utah Code Ann. § 31A-1-301 (145)(a)(b)); Surety Insurance (Utah Code Ann. § 31A-1-301 (169)); Vehicle Liability Insurance (Utah Code Ann. § 31A-1-301(177)); Liability Insurance (Utah Code Ann. § 31A-1-301(104)(a)); Marine and Transport (Utah Code Ann. § 31A-1-301(88) & (126)); Workers’ Compensation Insurance (Utah Code Ann. § 31A-1-301(180)); Title Insurance (Utah Code Ann. § 31A-1-301(172)); Professional Liability, excluding | 11/15/2018 | 11/15/2018 |

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| | medical malpractice (Utah Code Ann. § 31A-1-301(103)(a)); Professional Liability, including medical malpractice (Utah Code Ann. § 31A-1-301(115 & 138)); Motor Club (Utah Code Ann. § 31A-1-301(116)); Limited Health Plan (Utah Code Ann. § 31A-8-101(3)(a)); Credit Guarantee (Utah Code Ann. § 31A-1-301(36)(a)); Legal Expense (Utah Code Ann. § 31A-1-301(103)(a)) | | |
| Michigan | Revised the line description to insert the word “Casualty” for the following lines of business: Steam Boiler, Flywheel and Machinery (MCL 500.624(1)a); Liability (MCL 500.624(1)b); Automobile, including Section 500.625, disability coverage supplemental to automobile insurance (MCL 500.624(1)b); Workers’ Compensation (MCL 500.624(1)b); Plate Glass (MCL 500.624(1)c); Sprinkler and Water Damage (MCL 500.624(1)d); Credit (MCL 500.624(1)e); Burglary and Theft (MCL 500.624(1)f); Livestock (MCL 500.624(1)g); Malpractice (MCL 500.624(1)h); Miscellaneous (MCL 500.624(1)i). | 11/15/2018 | 11/15/2018 |
| District of Columbia | Added four new lines of business: (2.4) Private Crop (Sec. 31-2502.11), (2.5) Private Flood (Sec. 31-2502.11), (17.1) Other Liability – occurrence (Sec. 31-2502.11) and (17.2) Other Liability – claims made (Sec. 31-2502.11). Revisions were made to the descriptions of the following lines of business: (11) Medical Malpractice (Sec. 31-2502.11); (15.2) Non-cancelable A&H (Sec. 31-2502.11); (15.7) All Other A&H (Sec. 31-2502.11); (15.8) Federal Employees Health Benefits Program | 11/15/2018 | 11/15/2018 |
| Pennsylvania | Updated the website link in Note 3 to: http://www.insurance.pa.gov/Companies/DoingBusiness/Documents/LIBC_211I.pdf | 01/19/2018 | 05/15/2018 |
| New Mexico | The New Mexico lines of business were revised effective July 1, 2017 to: Life and Annuities (NMSA Section 59A-7-2); Accident and Health (NMSA Section 59A-7-3); Property (NMSA 59A-7-4); Casualty (NMSA Section 59A-7-6); and Variable Life and Annuity (NMSA Section 59A-7-7) | 01/19/2018 | 01/19/2018 |
| Illinois | Added three new lines of business: Fraternal Benefit Society [215 ILCS 5/282.1 et seq.]; Health Maintenance Organization (HMO) [215 ILCS 125/1-1 et seq.]; Limited Health Service Organization (LHSO) [215 ILCS 130/1001 et seq.] | 11/06/2017 | 11/06/2017 |
| Hawaii | Revised line description for “Disability (Section 431:1-205, HRS)” to “Accident and Health Insurance (Section 431:1-205, HRS).” Added footnotes and revised footnote references for the Property Insurance, Vehicle Insurance, General Casualty Insurance and Ocean Marine. | 10/13/2017 | 10/13/2017 |
| Texas | Updated Footnotes (c) and (e). | 03/03/2017 | 03/03/2017 |
| Pennsylvania | Updated the website link in Note 3 to: http://www.insurance.pa.gov/Documents/libc-211i-rev-08-2012.pdf | 09/15/2016 | 02/13/2017 |

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| Arizona | Added a new line of business for Recognized Surplus Lines A.R.S. §§ 20-407.01 & 20-409 | 09/15/2016 | 09/16/2016 |
| Vermont | Added statute/regulation reference for the Variable Annuity and Variable Life lines of business to include “(Section 3301(a)(1))” with “(Section 3857).” | 07/27/2016 | 07/29/2016 |
| Virginia | Removed Modified Guaranteed Life #71 and Modified Guaranteed Annuities #72 | 03/03/2016 | 03/03/2016 |
| New Hampshire | Revised description of the Liability/Casualty Coverages, including Workers’ Compensation (RSA 401.1.V) and Other Casualty Risks. Insurance against any other casualty risk not otherwise specified under paragraph V. (RSA 401.1, VIII) lines of business. | 01/12/2016 | 01/12/2016 |
| South Dakota | Deleted the line of business for (23-B) Prepaid Legal | 09/08/2015 | 09/08/2015 |
| California | Deleted the line of business for Mortgage (CIC 117) | 08/14/2015 | 08/14/2015 |
| Kansas | Added a new line of business for Cost of Legal Services | 07/01/2015 | 07/01/2015 |
| Texas | Deleted the line of business Prepaid Legal Services (h) and Footnote (H) Prepaid Legal Services business also has a separate policy forms filing requirements. | 03/04/2015 | 03/04/2015 |
| District of Columbia | Updated line (21.1) Private Passenger Auto Physical Damage (Sec. 31-2502.11) and added (20) Glass (Sec-2502.11) | 02/18/2015 | 02/18/2015 |

Lines of Business Matrix Revisions

| State | Line of Business | Revision Date |
|--------------|--|----------------------|
| Pennsylvania | Statute references were updated for the following lines of business: Accident & Health and Credit Accident & Health. | 01/16/2020 |
| Hawaii | Statute references were updated for the following lines of business: Ocean Marine, Inland Marine and Aircraft (all perils). | 01/16/2020 |
| Hawaii | Added subclasses to Life Insurance, Property Insurance and Marine and Transportation lines of business and updated statute references. | 07/12/2019 |
| Hawaii | Updated the Lines of Business for Property Insurance, with Hurricane (Section 431: 1-206, HRS)* and Property Insurance, without Hurricane (Section 431: 1-206, HRS). | 05/07/2019 |
| Maine | Corrected line of business reference for Multiple Peril Crop to Allied Lines from Farmowners Multiple Peril. | 04/05/2019 |
| Texas | Updated statute references for Mortgage Guaranty and Title lines of business. | 04/03/2019 |
| Georgia | Added Health Maintenance Organization line of business and statute reference. | 04/03/2019 |
| Florida | Removed statute reference “Commercial Auto Physical Damage Only (0212) from 21.1 Private Passenger Auto Physical Damage line and added statute reference “Commercial Auto Physical Damage Only (0212) and Casualty (Section 624.605) to Line 21.2 Commercial Auto Physical Damage. | 04/03/2019 |
| Delaware | Added statute references for the following lines of business: Private Crop, Private Flood; Federal Employees Health Benefits Plan Premium, Other Liability – Claims Made; Commercial Auto Physical Damage and Title. | 04/03/2019 |
| Connecticut | Added statute references for the following lines of business: Private Crop, Private Flood, Federal Employees Health Benefits Plan Premium, Other Liability – Claims Made, and Commercial Auto Physical Damage. | 04/03/2019 |
| All States | Added the following lines of business to the Matrix: 2.4 Private Crop; 2.5 | 11/15/2018 |

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| | Private Flood; 15.8 Federal Employees Health Benefits Plan Premium; 17.1 Other Liability – Occurrence; 17.2 Other Liability – Claims Made; 21.1 Private Passenger Auto Physical Damage; and 21.2 Commercial Auto Physical Damage. Updates were made to the following states as a result of the changes to the Matrix: AK, AL, AR, AZ, DC, GA, HI, IN, KS, KY, LA, MA, ME, MI, MN, MO, MS, MT, NC, ND, NH, NM, NV, OK, OR, PA, TN, TX, UT, VA, VT, WA, WI, WY. | |
| California | The statute reference for Other Liability was revised to Liability (CIC 108) | 09/24/2018 |
| New Mexico | Updated for references to the new lines of business on the Matrix | 01/19/2018 |
| Hawaii | The statute reference for “Disability (Section 431:1-205, HRS)” was revised to “Accident and Health Insurance (Section 431:1-205, HRS).” | 10/13/2017 |
| Vermont | Added statute/regulation reference to the Variable Annuities line of business “and (§ 3857)” | 07/27/2016 |
| Connecticut | Added a line of business reference to 15.4 Non-renewable for stated reasons only; 15.6 Medicare Title XVIII exempt from state taxes or fees; 17.3 Excess Workers’ Compensation; 30 Warranty and Health Care Center (HMO). | 08/26/2015 |
| Kansas | Added a new line of business for Cost of Legal Services | 07/01/2015 |
| Texas | Deleted references to Prepaid Legal Services (h) in Lines: 23 Fidelity; 34 Aggregate write-ins for other lines of business ; and Life | 03/04/2015 |
| Florida | Updated the statute/regulation references for all annual statement lines of business on the Matrix | 03/02/2015 |

Form 6 – Certificate of Compliance

| <u>Description of Change</u> | <u>Revision Date/Adoption Date</u> | <u>Posted Date</u> |
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| Corrected the formatting/spacing for the date. <i>Note: States should accept both the 08/18/04 and 08/18/14 revision date for Form 6 for applications submitted on or before 08/31/2017. Certificates processed through the electronic application reflect the 8/18/2014 revision date.</i> | 08/18/2004 Revision date should have been 08/18/14 | 04/04/2017 |
| The term “Applicant Company” was added to be used uniformly in all UCAA forms. <i>Note: States should accept both the 08/18/04 and 08/18/14 revision date for Form 6 for applications submitted on or before 08/31/2017. Certificates processed through the electronic application reflect the 8/18/2014 revision date.</i> | 08/18/2004 Revision date should have been 08/18/14 | 12/04/2014 |

Form 7 – Certificate of Deposit

| <u>Description of Change</u> | <u>Revision Date/Adoption Date</u> | <u>Posted Date</u> |
|--|------------------------------------|--------------------|
| The NTC(E)WG adopted the addition of “ ___Policyholders or Creditors” to the “For benefit of” section. | 08/17/2015 | 02/19/2016 |
| The term “Applicant Company” was added to be used uniformly in all UCAA forms. | 08/18/2014 | 12/04/2014 |

Form 8 – Questionnaire

| <u>Description of Change</u> | <u>Revision Date/Adoption Date</u> | <u>Posted Date</u> |
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| Form 8 - A new sub-question F. was added to Question 15. The new | 11/18/2014 | 12/04/2014 |

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| requirement will require the Applicant Company to attach a copy of their investment policy as part of the questionnaire. The new requirement pertains only to a primary and redomestication application. | | |
| Form 8 and 8C – The term “Applicant Company” was added to be used uniformly in all UCAA forms. | 08/18/2014 | 12/04/2014 |

Form 11 – Biographical Affidavit

| <u>Description of Change</u> | <u>Revision Date/Adoption Date</u> | <u>Posted Date</u> |
|--|------------------------------------|--------------------------|
| The form was revised to add a section to “Specify Purpose for Completion” and Form A: _____ UCAA Type: _____ Other: _____; clarification to list the Applicant Company Name, Address, City, State/Province, Postal Code, and Phone on Page 1 and 7; and the Government ID Number and Country of Issuance was added to Question 4 of the Supplemental Personal Information. Effective 1/1/2020. | 12/09/2019 | 12/16/2019 |
| Language was added to Question 15 for officers, directors, etc. employed by the holding company to include the group code. Language was also added to indicate that all fields must have a response. | 04/08/2019 | 04/09/2019 |
| The disclosure language in Form 11 was revised to reflect the six-month signature requirement. Effective 1/1/2019 signatures on the biographical affidavit must be within 6-months of the application submission date. | 03/26/2018 | 06/11/2018 06/22/2018 |
| Additional language was added to Form 11- Biographical Affidavit and the Supplement Information page regarding additional requirements for international searches. | 12/04/2017 | 12/08/2017 |
| The term “Applicant Company” was added to be used uniformly in all UCAA forms. | 08/18/2014 | 12/04/2014 |

Form 12 – Uniform Consent to Service of Process

| <u>Description of Change</u> | <u>Revision Date/Adoption Date</u> | <u>Posted Date</u> |
|---|------------------------------------|--------------------|
| Added “Statutory” before “Home Office Address” to clarify that the address listed should be the Statutory Home Office Address and further clarification was added for companies that are organized in one state and domiciled (regulated) in another state. | 12/09/2019 | 01/10/2020 |
| Exhibit A was updated for Montana to reflect that a resident agent is now required to receive the Service of Process. | 06/28/2019 | 06/28/2019 |
| Removed Secretary of State requirement for Vermont from Exhibit B | 03/15/2019 | 03/15/2019 |
| The NTC(E)WG adopted the addition of a signature date for the Secretary to be added to the Resolution page | 11/21/2015 | 02/19/2016 |
| Minnesota can now accept Form 12. The Exhibit A was updated to reflect the changes for the Minnesota requirements. | 11/21/2015 | 02/19/2016 |
| The term “Applicant Company” was added to be used uniformly in all UCAA forms. | 08/18/2014 | 12/04/2014 |

Form 13 – Proforma

| <u>Description of Change</u> | <u>Revision Date/Adoption Date</u> | <u>Posted Date</u> |
|--|------------------------------------|--------------------|
| P/C – Corrected the formula in the Nation Net Prem & Loss Dev LOB to | 01/01/2019 | 02/15/2019 |

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| | | |
|--|--|------------|
| remove the “*1000” and removed the “Verification from P&L” line from the Authorized Incurred Loss by LOB tab. Note: There was no change to the revision date of the form since changes were the results of a correction. | | |
| Health, Life, P/C and Title – The proforma workbooks were converted to Microsoft Office 2010 and revised to closely follow the annual statement. See UCAA website for detailed revisions. | 01/01/2019 (revision)/ 11/17/18 (adopted) | 11/26/2018 |
| Health – LOB Analysis Tab, the XXX were removed from Lines 6 & 15 for the Other Non-Health Column and formulas were updated to include these amounts. | 10/07/2016 | 10/07/2016 |
| Health – The format type was updated to .xls | 01/20/2015 | 01/20/2015 |
| The term “Applicant Company” was added to be used uniformly in all UCAA forms for Life, Health, P/C and Title. | 08/18/2014 | 12/04/2014 |

Form 14 – Change of Address/Contact Notification Form

| <u>Description of Change</u> | <u>Revision Date/ Adoption Date</u> | <u>Posted Date</u> |
|---|---|--------------------|
| The NTC(E)WG adopted changes to include: 1) new contact for External Healthcare Review; 2) modifications to move the “Note” from the bottom of page 1 to the paragraph below the Mailing Address/Contact Change header; 3) added “Main Administrative Office” in front of phone number for the New Mailing Address; and 4) removed the state table from page 2. | 04/08/2019 | 04/12/2019 |
| The NTC(E)WG adopted a requirement for a toll free/instate phone number to be listed for the claims information contact; consumer complaints contact; and policyholder information contact. | 04/10/2017 | 04/21/2017 |
| The NTC(E)WG adopted changes to include: 1) Modifications to the language under the Name Change, Mailing Address/Contact Change and Notes sections; 2) the addition of the Fraud Assessment Invoice Contact; and 3) clarification to the line description for the “Name of MGA.” | 08/17/2015 | 02/19/2016 |
| The term “Applicant Company” was added to be used uniformly in all UCAA forms. | 08/18/2014 | 12/04/2014 |

Form 15 – Affidavit of Lost Certificate of Authority

| <u>Description of Change</u> | <u>Revision Date/ Adoption Date</u> | <u>Posted Date</u> |
|----------------------------------|---|--------------------|
| Original Development of the Form | 3/28/2010 | |

Form 16a – Statement of Voluntary Dissolution and Form 16b – Statement of Voluntary Dissolution RRG’s

| <u>Description of Change</u> | <u>Revision Date/ Adoption Date</u> | <u>Posted Date</u> |
|---|---|--------------------|
| Form 16a and Form 16b instructions were removed from the webpage and added to the Corporate Amendment Instructions. | 04/08/2019 | 04/12/2019 |
| Form 16b – Original Posting of the Form and Instructions | 04/25/2014 | |
| Form 16a – Original Development of the Form and Instructions | 08/16/2010 | |

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| Form 17 – Statement of Withdrawal | | |
|--|---|--------------------|
| Description of Change | Revision Date/ Adoption Date | Posted Date |
| The term “Applicant Company” was added to be used uniformly in all UCAA forms. | 08/18/2014 | 12/04/2014 |

| State Specific Information | | |
|-----------------------------------|---|--------------------|
| State | Description of Change | Posted Date |
| Virginia | In the Corporate Amendments, Mergers, etc. section updated Form SCC710N to Form SCC760/922 and added the following links: Clerk’s Office Website https://www.scc.virginia.gov/pages/Forms-and-Fees and https://www.scc.virginia.gov/pages/Foreign-Corporations . | 04/24/2020 |
| Virginia | Updated link in the Legal References section to https://scc.virginia.gov/pages/Administration-of-Insurance-Regulation-in-Virginia . Updated the contact in the Reinsurance Companies section to Henry Harris, henry.harris@scc.virginia.gov , (804) 371-9186. | 04/23/2020 |
| Washington | Revised the following sections: Legal References; Admission Fees; and Capital and Surplus Requirements. | 01/09/2020 |
| Vermont | Updated website link to Bulletin 43. | 01/09/2020 |
| North Dakota | Updated contact information. | 01/09/2020 |
| Michigan | Updated the Legal References website link. | 01/09/2020 |
| Maryland | Updated the link to the certificate of compliance form for Workers’ Compensation. | 01/09/2020 |
| Illinois | Added the Insurance Laws and Insurance Regulations website links. | 01/09/2020 |
| Idaho | Revised the contact information and modified the information for the Expansion and Addition or Deletions to Lines of Business applications. | 01/09/2020 |
| Hawaii | The following sections were updated: State Specific Information; Uniform Certificate of Authority Applications; and Corporate Amendment Applications. | 01/09/2020 |
| Georgia | The GID-7 requirements were updated to read as “Effective 01-01-2020 the GID-7 is no longer required if a copy of the domiciliary states retaliatory information (located on the UCAA website) is attached. | 01/09/2020 |
| Connecticut | Updated the website address for the Office of the Secretary of State | 01/09/2020 |
| California | Updated the address for the Workers’ Compensation Insurance Rating Bureau | 01/09/2020 |
| Tennessee | Added the following sentence “Except for applicable fee(s), expansion and corporate amendment applications should be filed in their entirety in electronic format only (no hardcopy) using the NAIC/UCAA Electronic Application, which is available on the NAIC’s website: https://www.naic.org/industry_ucaa.htm .” | 12/15/2019 |
| Kansas | Added the following sentence “Effective July 1, 2019, all Expansion and Corporate Amendment Applications must be submitted using the NAIC UCAA Electronic Application, which is available on the NAIC’s website: https://www.naic.org/industry_ucaa.htm .” Deleted the following reference from paragraph 7 “The Consent should be executed with original signatures by the President and Secretary and should reflect the date they signed it. The original Consent should be submitted in a printed format.” and “in a printed format” from paragraph 8. | 04/18/2019 |
| Idaho | Added language for Expansion and Corporate Amendment Adding Lines of Business applications that policy forms must be submitted when amending the certificate of authority to add the disability or life line of business. | 02/15/2019 |

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|--------------|---|------------|
| Texas | Updated link in the “Adding a Line” section from http://www.helpinsure.com/auto/documents/TXSureUserGuide.pdf to http://www.helpinsure.com/auto/documents/userguidev7.pdf | 02/15/2019 |
| Ohio | Updated the state specific information to reflect the requirement changes in “wet” signatures. Wet signatures are only required for the biographical affidavit. | 02/08/2019 |
| Georgia | Updated the hyperlink to the Georgia state specific forms to https://www.oci.ga.gov/Insurers/Application%20Process.aspx | 02/05/2019 |
| Washington | Added the following language “Do not submit payment with the expansion application. We will separately request payment prior to the issuance of certificate. See the Retaliatory Fee chart for corporate amendment application fees.” | 01/14/2019 |
| Texas | Updated website link under Legal References and Other State-Specific Information; Added additional information to the Primary Applications for Redomestications to Texas, Adding a Line, and Corporate Amendment sections. | 01/07/2019 |
| Rhode Island | Updated contact information for questions and the registration of other company types. | 01/07/2019 |
| Idaho | Updated the website links under the Legal References and the Industrial Commission. | 01/07/2019 |
| Nevada | Added requirement for address changes to be filed through the Nevada electronic portal at http://doi.nv.gov/Insurers/ | 05/17/2018 |
| Connecticut | Updated the seasoning requirements from 3 years to 2 years based on Department policy | 05/10/2018 |
| South Dakota | A new link to the SD webpage was added: http://dlr.sd.gov/insurance/companies/company_licensing.aspx | 04/23/2018 |
| Wyoming | Updated the website link under Legal References to http://doi.wyo.gov ; updated the Reports of Examination section from 36 months to 60 months; added reference “(updated as of 3-9-18)” in the Seasoning Requirements section; and removed “Chapter 26 – Farm Mutual Property Insurers” from the Requirements for Wyoming Domestic Insurance Companies. | 03/22/2018 |