

UNIFORM CERTIFICATE OF AUTHORITY APPLICATION

CERTIFICATE OF COMPLIANCE AND CERTIFICATE OF DEPOSIT REQUIREMENTS

The chart below identifies the Certificate of Compliance and Deposit requirements for each Uniform State. A link to the Application instructions for [Expansion Application, Section II, Filing Requirement Item 4](#); and [Expansion Application, Section II, Filing Requirement Item 8](#) and [Corporate Amendment Application Sections I and V, Filing Requirement Item 6 and Section III, Filing Requirements Item 5](#); [Corporate Amendment Application, Section I, Filing Requirement Item 9](#) are provided.

The UCAA suggests that the date of issuance of the Certificate of Deposit and Certificate of Compliance be no more than 6 months from the date the applicant files the application.

Updates to the state-specific information will be noted with a “✓” next to the state name.

State	CURRENT DATE OF CERTIFICATION	Process Certificates through the Electronic UCAA	Accepts Certificates through the Electronic UCAA Processed/Scanned
AL	6 months from Date of Application.	Yes	Yes
AK	As of date of last Annual Statement	Yes	Yes
AZ	6 months from Date of Application	Yes	Yes
AR	6 months from Date of Application.	Yes	Yes
CA	1 Year		Yes
CO	1 Year	Yes	Yes
CT	6 months from Date of Application.	No	No
DE	1 Year	Yes	Yes
DC	1 Year	Yes	Yes
FL	6 months from Date of Application.	Yes	Yes
GA	6 months from Date of Application.	No	Accepts scanned copy
HI	6 months from Date of Application.	Yes	Must have original Certificate if not processed through the Electronic UCAA.
ID	6 months from Date of Application.	Yes	Yes
IL	Contact State For Requirements	No	No
IN	6 months from Date of Application	Yes	Yes
IA	1 Year	Yes	Yes

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KS	6 months from Date of Application.	Yes	Yes
KY	6 months from Date of Application.	Yes	Yes
LA	6 months from Date of Application.	Yes	Yes
ME	6 months from Date of Application.	No	Yes
MD	Most Recent Year End.	Yes	Yes
MA	6 months from Date of Application.	No	Yes
MI	6 months from Date of Application. Certificate of Deposit must include a listing of securities on deposit.	No	Yes
MN	6 months from Date of Application.	No	Yes, must be on the Uniform Form.
MS	6 months from Date of Application.	Yes	Yes
MO	6 months from Date of Application.	Yes	Yes
✓MT	Most recent Year End. Deposited securities that mature must have a current Certificate with a current deposit/security.	Yes	Yes
NE	6 months from Date of Application.	Yes	Yes
NV	1 year from Date of Application.	Yes	Yes
NH	6 months from Date of Application.	Yes	Yes
NJ	Most recent Year-End.	Yes	Yes
NM	6 months from Date of Application.	No	Yes
NY	Contact State for Requirement		
NC	6 months from Date of Application.	No	
ND	1 Year	Yes	Yes
OH	6 Months/As close to Date of Application as possible.	Yes	Yes
OK	6 months from Date of Application.	Yes	Yes
OR	6 months from Date of Application.	No	
PA	1 Year	Yes	Yes
PR	The effective date of the Certificate of Authority is when the authorization process in completed, effective until June 30.	No	Yes
RI	6 months from Date of Application.	No, Cert of Deposit Yes, Cert of Compliance	Yes

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SC	6 months from Date of Application.	No	Yes
SD	Deposit- Within Current Year Compliance – Not required if current in Domiciliary State.	Yes	Yes
TN	Must provide current information on Certificates	No	Yes
TX	6 months from Date of Application	Yes	Yes
UT	1 Year	Yes	Yes, if provided by Domiciliary State
VT	6 month from Date of Application	Yes	Yes
VA	6 months from Date of Application.	Yes	Yes
WA	6 months from Date of Application.	Yes	Yes
WV	6 months from Date of Application.	No	Yes, if provided by Domiciliary State. Certificate of Compliance must be accompanied with the most recent Certificate of Authority
WI	No state requirements. Will contact domiciliary state.	No	Yes
WY	1 Year	Yes	Yes