

UNIFORM CERTIFICATE OF AUTHORITY APPLICATION

Fingerprint and Biographical Affidavit Requirements

A link to the Application instructions for [Primary Application, Section II, Filing Requirement Item 13](#); [Expansion Application, Section II, Filing Requirement Item 12](#); and [Corporate Amendment Application Section VII, Filing Requirement Item 9](#) and [Section VIII, Filing Requirement Item 6](#).

“✓” Updates to the State-Specific Information

State	Domiciliary Requirements Licensure (Primary) and After Licensure	Non-Domestic Requirements For Licensure (Expansion or Corporate Amendment Application)	Non-Domestic Requirements After Licensure (Updates only)
AL	Contact State Directly for Requirements	NAIC biographical affidavit and Independent Third-Party Verification.	If requested a NAIC biographical affidavit is required for new officers/directors of foreign insurers, within 15 days of request.
✓ AK	<u>Licensure:</u> NAIC Biographical Affidavit and Independent Third-Party Verification <u>After Licensure:</u> NAIC Biographical Affidavits <u>are not required.</u>	NAIC Biographical Affidavit and Independent Third-Party Verification NOTE: Verification reports should be sent to the state at the time of submission of the application. Reports received without an application pending will be destroyed.	NAIC biographical affidavit is not required for new officers or directors.
AZ	<u>Licensure:</u> NAIC Biographical Affidavit AND Fingerprint Cards. Contact the Financial Affairs Divisions at: (602) 364-3988 to request fingerprint cards and instructions. <u>After Licensure:</u> NAIC Biographical Affidavits are required for changes in Officers, Directors or Key Managerial Personnel.	NAIC Biographical Affidavit AND Independent Third-Party Verification.	NAIC biographical affidavit is not required for new officers or directors.
AR	<u>Licensure:</u> NAIC biographical affidavit and Independent Third-Party Verification. <u>After Licensure:</u> NAIC Biographical Affidavits are required for changes in Officers, Directors or Key Managerial Personnel.	NAIC Biographical Affidavit and Independent Third-Party Verifications.	NAIC biographical affidavits are not required for new officers or a director, assuming the domestic state is reviewing changes.
CA	Primary: Fingerprints and NAIC biographical affidavits. Please contact California's Department of Insurance directly at (415) 538-4035 to request the necessary fingerprint live scan After Licensure: NAIC Biographical affidavits are required	NAIC Biographical Affidavit and Fingerprint live scans, please contact California's Department of Insurance directly at (415) 538-4035 to request the necessary fingerprint live scan, forms and information.	NAIC Biographical Affidavit and Finger print live scan is required for new officers,/directors within a reasonable time.

State	Domiciliary Requirements Licensure (Primary) and After Licensure	Non-Domestic Requirements For Licensure (Expansion or Corporate Amendment Application)	Non-Domestic Requirements After Licensure (Updates only)
CA con't	for changes in Officers, Directors or Key Managerial Personnel.		
CO	Contact State Directly for Requirements	NAIC Biographical Affidavits and Independent Third-Party Verification reports for all foreign companies.	NAIC biographical affidavit is not required for new officers or directors.
CT	<u>Licensure:</u> NAIC Biographical Affidavits and Independent Third-party Verification. <u>After Licensure:</u> NAIC Biographical Affidavits are required when there is a change in Officers, Directors or Key Managerial Personnel.	<u>Expansion:</u> NAIC Biographical Affidavits and Independent Third-party Verification. <u>License/Corporate Amendment:</u> NAIC biographical affidavits are required for new officers/directors if not previously provided.	A NAIC biographical affidavit is required for new officers/directors as soon as possible.
DE	<u>Licensure:</u> NAIC Biographical Affidavit. <u>After Licensure:</u> NAIC Biographical Affidavits are required for changes in Officers, Directors or Key Managerial Personnel.	NAIC Biographical Affidavit.	A NAIC biographical affidavit is required for new officers or directors listed on the NAIC Jurat page of the annual statement within a reasonable time frame.
DC	Contact State Directly for Requirements	NAIC Biographical Affidavit and Independent Third-Party Verification	NAIC biographical affidavit is not required for new officers or directors.
FL	<u>Licensure:</u> NAIC Biographical Affidavit, Independent Third-Party Verification and Fingerprint Cards (Fingerprint LiveScan available for Florida Residents Only). Refer to State Specific Requirements for Fingerprint Procedures. Please contact the Office of Insurance Regulation at (850) 413-2575 to request the necessary fingerprint cards or appcoord@flor.com . Effective August 16, 2007, Florida no longer requires credit reports with the background investigations.	NAIC Biographical Affidavit, Independent Third-Party Verification and Fingerprint Cards (Fingerprint LiveScan available for Florida Residents Only). Refer to State Specific Requirements for Fingerprint Procedures. Please contact the Office of Insurance Regulation at (850) 413-2575 to request the necessary fingerprint cards or appcoord@flor.com . Effective August 16, 2007, Florida no longer requires credit reports with the background investigations.	A NAIC biographical affidavit is required for new key officers.
GA	Contact State Directly for Requirements	NAIC Biographical Affidavit and Independent Third-Party Verification	Contact state for requirements.
HI	<u>Licensure:</u> NAIC Biographical Affidavit and Independent Third-Party Verification <u>After Licensure:</u> A NAIC Biographical affidavit and Independent third-party verification report is required for changes in Officers, Directors or Key Managerial Personnel.	NAIC Biographical Affidavit and Independent Third-Party Verification Sally D. Bautista — Phone #: (808) 586-7414	NAIC biographical affidavit is required for new officers when filing for Mergers and Acquisitions only.
ID	Contact State Directly for Requirements	NAIC Biographical Affidavit and Independent Third-Party Verification	A NAIC biographical affidavit and Independent Third-Party Verification report is not required for new officers or directors provided the company files annual and quarterly financial statements electronically with the NAIC. Foreign insurers licensed in Idaho are not

State	Domiciliary Requirements Licensure (Primary) and After Licensure	Non-Domestic Requirements For Licensure (Expansion or Corporate Amendment Application)	Non-Domestic Requirements After Licensure (Updates only)
ID con't			required to file separate notices of changes in officers and directors.
IL	<u>Licensure:</u> NAIC Biographical Affidavits with original signatures required for all domestic companies' Officers and Directors. Independent Third Party Verification Reports are required for all Officers and Directors. <u>After Licensure:</u> NAIC Biographical Affidavits with original signatures are required for changes in Officers or Directors; Independent Third Party Verification are required for new Officers or Directors. Notification of a change in officers or directors is required within 30 days.	A copy of the NAIC Biographical Affidavits for all foreign companies. Independent Third-Party Verification are required for each Officer and Director of the applicant.	NAIC Biographical Affidavit is required for new officers or directors. Notification of a change in officers or directors is required within 30 days. Independent Third-Party Verifications are required for new officers and directors.
IN	<u>Licensure:</u> Indiana Biographical Affidavits with original signature and Independent Third- Party Verification required for all domestic companies <u>After Licensure:</u> Originally signed Indiana Biographical Affidavits are required for changes in Officers, Directors or Key Managerial Personnel.	Indiana Biographical Affidavits with original signature and Independent Third-Party Verification.	Notification of a change in officers or directors is required within 30 days. An Indiana Biographical Affidavits and Independent Third-Party Verification upon request for new officers or directors.
IA	Contact State Directly for Requirements	NAIC Biographical Affidavit and Independent Third-Party Verification.	NAIC biographical affidavit is not required for new officers or directors.
KS	<u>Licensure:</u> NAIC Biographical Affidavit and Independent Third-Party Verification. <u>After Licensure:</u> NAIC Biographical Affidavit for changes in officers and directors as listed on page one of the annual statement within 30 days after the changes or actions become effective or are otherwise finalized.	Expansion --- NAIC Biographical Affidavit and Independent Third- Party Verification.	NAIC biographical affidavit is not required for new officers and directors. Notification required via the Kansas "DESK-TOP" system of any change in President or Corporate Secretary
KY	<u>Licensure:</u> NAIC Biographical Affidavit and Independent Third-Party Verification <u>After Licensure:</u> Biographical Affidavits are required for changes in Officers, Directors or Key Managerial Personnel.	NAIC Biographical Affidavit and Independent Third-Party Verification.	NAIC biographical affidavit is required for new President's only, within 30 days.
LA	<u>Licensure:</u> Complete biographical affidavits (Form 11) on most current form for all officers and directors. Independent Third-Party Verifications required for all officers and directors. Domestic applicants must submit fingerprints in compliance with the state requirements. More information on fingerprint requirements at http://www.lidi.la.gov/industry/company-licensing/application-forms/ucaa/primary-application .	Complete biographical affidavits (Form 11) on most current form for all officers and directors. Independent Third-Party Verifications required for all officers and directors.	Completed biographical affidavits (Form 11) on the most current form must be submitted for all "senior officers" as defined by state law and for all directors within sixty days of election or appointment. Independent Third-party verifications are not required. For information on how to file see http://www.lidi.la.gov/industry/company-licensing/new-officers-and-directors-for-

State	Domiciliary Requirements Licensure (Primary) and After Licensure	Non-Domestic Requirements For Licensure (Expansion or Corporate Amendment Application)	Non-Domestic Requirements After Licensure (Updates only)
LA con't			<u>foreign-and-alien-insurers.</u>
ME	<u>Licensure:</u> NAIC Biographical Affidavits and Independent Third-Party Verification. <u>After Licensure:</u> NAIC Biographical Affidavits are required for new Officers, Directors or Key Managerial Personnel	NAIC Biographical Affidavit and Independent Third-Party Verification.	NAIC Biographical Affidavit is NOT required for new officers or directors. Letter of notification for changes/updates is also NOT required.
MD	<u>Licensure:</u> NAIC Biographical Affidavits and Independent Third-Party Verification. <u>After Licensure:</u> NAIC Biographical Affidavits with original signatures are required for changes in Officers, Directors. Independent Third-Party Verifications are required for new Officers or Directors. Notification of a change in officers or directors is required within 3- days.	NAIC Biographical Affidavit certified by Independent Third-Party Verification.	NAIC biographical affidavit is not required for new officers or directors.
MA	<u>Licensure:</u> NAIC Biographical Affidavit and Independent Third-Party Verifications <u>After Licensure:</u> NAIC Biographical Affidavits are required for changes in Officers, Directors or Key Managerial Personnel. All questions should be directed to <u>companies.mailbox@state.ma.us.</u>	NAIC Biographical Affidavit required for officers and directors of all Applicant Companies.	NAIC biographical affidavits are not required for new officers and directors of foreign companies. In lieu of biographies a letter of notification is required for any changes in officers or directors submitted electronically to <u>companies.mailbox@state.ma.us.</u>
✓MI	<u>Licensure:</u> NAIC Biographical Affidavit and Livescan fingerprinting. <u>After Licensure: NAIC Biographical Affidavit and Livescan fingerprinting are required for changes in Officers, Directors or Key Managerial Personnel.</u> Livescan instructions can be obtained by contacting the Department of Insurance and Financial Services at (517) 284-8756 or <u>martinl@michigan.gov</u> .	<u>Expansion:</u> NAIC Biographical Affidavits and Independent Third-Party Verifications are required. <u>Corporate Amendments:</u> NAIC Biographical Affidavits and Independent Third-Party Verifications are NOT required.	NAIC Biographical Affidavits and Independent Third-Party Verifications are NOT required.
MN	<u>Licensure:</u> NAIC biographical Affidavit and Independent Third-Party Verifications are required for Primary Applications. Signatures must be original. <u>After Licensure:</u> Only the biographical affidavit is required.	NAIC biographical affidavit and Independent Third-Party Verifications are required for Expansion Applications only. Signatures must be original.	NAIC biographical affidavit and Independent Third-Party Verifications are not required for new officers and directors.
✓MS	<u>Licensure:</u> NAIC Biographical Affidavit NAIC Biographical Affidavits and Independent Third-Party Verifications are required for changes in Officers, Directors or Key Managerial for primary applications and after licensure.	NAIC Biographical Affidavit	NAIC biographical affidavit is not required for new officers or directors. A letter of notification is required for any changes in officers or directors submitted electronically to <u>filings@mid.ms.gov</u>
MO	<u>Licensure:</u> NAIC Biographical Affidavit and Independent Third-Party Verification.	NAIC Biographical Affidavit and Independent Third-Party Verification.	NAIC biographical affidavits are not required for new officers or directors. A letter of

State	Domiciliary Requirements Licensure (Primary) and After Licensure	Non-Domestic Requirements For Licensure (Expansion or Corporate Amendment Application)	Non-Domestic Requirements After Licensure (Updates only)
MO con't			notification is required for any changes in officers and directors submitted to the Admissions Specialist.
MT	<u>Licensure:</u> NAIC Biographical Affidavit <u>After Licensure:</u> NAIC Biographical Affidavits are required for changes in Officers, Directors or Key Managerial Personnel.	NAIC Biographical Affidavit	NAIC biographical affidavit is not required for new officers or directors.
NE	<u>Licensure:</u> NAIC Biographical Affidavit and Independent Third-Party Verification. <u>After Licensure:</u> NAIC Biographical Affidavits are required for changes in Officers, Directors or Key Managerial Personnel.	NAIC Biographical Affidavit and Independent Third-Party Verification.	NAIC biographical affidavit is not required for new officers or directors.
NV	<u>Licensure:</u> NAIC Biographical Affidavit and Independent Third-Party Verification <u>After Licensure:</u> NAIC Biographical Affidavits and Independent Third-Party Verifications are required for changes in Officers, Directors and Key Managerial Personnel.	<u>Expansion:</u> Listing of Officers, Directors and Key Managerial Personnel.	Listing required within 90 days, indicating new Officers, Directors and Key Managerial Personnel.
NH	<u>Licensure:</u> NAIC Biographical Affidavit <u>After Licensure:</u> NAIC Biographical Affidavits are required for changes in Officers, Directors or Key Managerial Personnel.	NAIC Biographical Affidavit	NAIC biographical affidavit is not required for new officers or directors.
✓NJ	<u>Primary and After Licensure P&C:</u> NAIC Biographical Affidavit and criminal history record check by the New Jersey State Police. Contact the Department to request the necessary forms (Solvency Regulation 609-292-5350). <u>Primary and After Licensure L&H:</u> NAIC Biographical Affidavit and Independent Third-Party Verification	<u>P&C:</u> NAIC Biographical Affidavit <u>L&H:</u> NAIC Biographical Affidavit and Independent Third-Party Verfiication.	<u>P&C and L&H:</u> NAIC Biographical Affidavit and a letter of notification is required for any changes in officers or directors.
NM	Contact State Directly for Requirements	NAIC Biographical Affidavit and Independent Third-Party Verification	NAIC biographical affidavits are no longer required for new directors, officers, and key personnel.
NY	Contact State Directly for Requirements	NAIC Biographical Affidavit and Fingerprint Cards	Contact state for requirements.
NC	<u>Licensure:</u> NAIC Biographical Affidavit and Fingerprint Cards <u>After Licensure:</u> NAIC Biographical Affidavits are required for changes in Officers, Directors or Key Managerial Personnel.	NAIC Biographical Affidavit	NAIC biographical affidavit is not required for new officers or directors.
ND	<u>Licensure:</u> NAIC Biographical Affidavit and Independent	<u>Expansion:</u> NAIC Biographical Affidavit and	NAIC biographical affidavit is not required for

State	Domiciliary Requirements Licensure (Primary) and After Licensure	Non-Domestic Requirements For Licensure (Expansion or Corporate Amendment Application)	Non-Domestic Requirements After Licensure (Updates only)
ND con't	Third-Party Verification <u>After Licensure:</u> NAIC Biographical Affidavits are required for changes in Officers, Directors or Key Managerial Personnel.	Independent Third-Party Verification	new officers or directors.
OH	<u>Licensure:</u> NAIC Biographical Affidavit and Independent Third-Party Verification <u>After Licensure:</u> NAIC Biographical Affidavits are required for changes in Officers, Directors or Key Managerial Personnel.	NAIC Biographical Affidavit and Independent Third-Party Verification	NAIC biographical affidavit is not required for new officers or directors.
OK	<u>Licensure:</u> NAIC Biographical Affidavit and Independent Third-Party Verification – no fingerprints. <u>After Licensure:</u> NAIC Biographical Affidavits and Independent Third-Party Verifications are required for changes in Officers, Directors or Key Managerial Personnel.	<u>Expansion:</u> NAIC Biographical Affidavit and Independent Third-Party Verification is required – no fingerprints. <u>Corporate Amendment:</u> Oklahoma will rely on the review of biographical affidavits by the domiciliary regulator; therefore no NAIC biographical affidavit will be required for new officers or directors of foreign/alien companies.	<u>Informational filing only</u> written on company letterhead. Oklahoma will rely on the review of biographical affidavits by the domiciliary regulator; therefore no NAIC biographical affidavit will be required for new officers or directors of foreign/alien companies. A PDF copy of the letter can be emailed to jeanette.pearce@oid.ok.gov to eliminate paper and postage.
OR	<u>Licensure:</u> Biographical affidavit <u>After Licensure:</u> NAIC Biographical Affidavits are required for changes in Officers, Directors or Key Managerial Personnel.	Biographical affidavit for all officers and directors of the company as listed on the jurat page of the filed statement.	NAIC biographical affidavit is not required for new officers or directors.
PA	<u>Licensure:</u> NAIC Biographical Affidavit <u>After Licensure:</u> NAIC Biographical Affidavits are required for changes in Officers, Directors or Key Managerial Personnel.	NAIC Biographical Affidavit	Neither NAIC biographical affidavits nor any other notification is required for new officers or directors of admitted foreign insurers.
PR	Contact State Directly for Requirements	N/A	N/A
RI	<u>Licensure:</u> NAIC Biographical Affidavit. <u>After Licensure:</u> NAIC Biographical Affidavits are required for changes in Officers, Directors or Key Managerial Personnel.	Rhode Island will no longer require the Independent Third-Party Verifications. Rhode Island will only require the NAIC Biographical Affidavit.	NAIC biographical affidavit is required for new officers and directors within a reasonable time frame.
SC	<u>Licensure:</u> NAIC Biographical Affidavit and Independent Third-Party Verification <u>After Licensure:</u> NAIC Biographical Affidavits are required for changes in Officers, Directors or Key Managerial Personnel.	<u>Expansion:</u> NAIC Biographical Affidavit and Independent Third-Party Verification <u>Corporate Amendment:</u> NAIC Biographical Affidavit is not required for new officers or directors	NAIC biographical affidavit is not required for new officers or directors.
SD	<u>Licensure:</u> NAIC Biographical Affidavit <u>After Licensure:</u> NAIC Biographical Affidavits are required for changes in Officers, Directors or Key Managerial	DO NOT SUBMIT: Biographical Affidavits or employee organizational charts for foreign insurance companies. They are not required of foreign companies	NAIC biographical affidavit is not required for new officers or directors.

State	Domiciliary Requirements Licensure (Primary) and After Licensure	Non-Domestic Requirements For Licensure (Expansion or Corporate Amendment Application)	Non-Domestic Requirements After Licensure (Updates only)
SD con't	Personnel.	at any time.	
TN	<u>Licensure:</u> NAIC Biographical Affidavit <u>After Licensure:</u> NAIC Biographical Affidavits are required for changes in Officers, Directors or Key Managerial Personnel.	NAIC Biographical Affidavit	NAIC biographical affidavit is required for new officers and directors within a reasonable time frame; hardcopy is preferred (photocopy will be accepted).
TX	<u>Licensure:</u> Submit biographical information pursuant to UCAA instructions and requirements. For fingerprint card information, please see http://www.tdi.texas.gov/licensing/company/index.html . Fingerprints are needed for TX domestic companies- top executive officers and directors; Texas strongly recommends submitting digital fingerprint cards, as the cards are accurate and processing time is much faster. Ink print cards require longer processing times and are very susceptible to inaccuracies that may require multiple submissions.	Submit biographical information pursuant to UCAA instructions and requirements. For fingerprint card information, please see http://www.tdi.texas.gov/licensing/company/index.html . Fingerprints are needed for; TX foreign companies- top three executive officers (i.e. Pres/CEO, Treasurer/CFO, Secretary/General Counsel). Texas strongly recommends submitting digital fingerprint cards, as the cards are accurate and processing time is much faster. Ink print cards require longer processing times and are very susceptible to inaccuracies that may require multiple submissions.	NAIC biographical affidavit and fingerprint card are required for new key officers within 30 days.
✓UT	<u>Licensure:</u> NAIC Biographical Affidavit and Independent Third-Party Verification. <u>After Licensure:</u> NAIC Biographical Affidavit and Independent Third-Party Verification are required for changes in Directors, Officers and Key Managerial Personnel of domestic company or ultimate controlling person.	NAIC Biographical Affidavit and Independent Third-Party Verification.	A letter is required listing changes for additions and/or removals. Additions: Name, Position, effective start date. Removals: Name, Position, effective separation date and state “for cause” or “not for cause.” Emails preferred over postal mail.
VT	<u>Licensure:</u> NAIC Biographical Affidavit; Third Party Verification may be required. <u>After Licensure Updates:</u> NAIC Biographical Affidavit; Independent Third Party Verification may be required.	<u>For Licensure Expansion:</u> NAIC Biographical Affidavit. <u>Corporate Amendments:</u> NAIC Biographical Affidavit is not required for new officers or directors.	<u>After Licensure Updates:</u> NAIC Biographical Affidavit is not required for new officers or directors.
VA	<u>Licensure:</u> NAIC Biographical Affidavit and Independent Third-Party Verification. <u>After Licensure:</u> NAIC Biographical Affidavits are required for changes in Officers, Directors or Key Managerial Personnel.	NAIC Biographical Affidavit and Independent Third-Party Verification.	NAIC biographical affidavit and Independent Third-Party Verification are not required for new officers or directors.
WA	<u>Licensure:</u> NAIC Biographical Affidavit and Independent Third-Party Verification. <u>After Licensure:</u> NAIC Biographical Affidavits are required for changes in Officers, Directors or Key Managerial	NAIC Biographical Affidavit and Independent Third-Party Verification.	NAIC biographical affidavit is not required for new officers or directors.

State	Domiciliary Requirements Licensure (Primary) and After Licensure	Non-Domestic Requirements For Licensure (Expansion or Corporate Amendment Application)	Non-Domestic Requirements After Licensure (Updates only)
WA con't	Personnel. Domestic insurers must file a biographical affidavit every thirty-six months after the last biographical affidavit filed.		
WV	<u>Licensure:</u> NAIC Biographical Affidavit is required. <u>After Licensure:</u> NAIC Biographical Affidavit is required for new officers and/or directors AND amendments to officers and/or directors.	<u>Expansion:</u> NAIC Biographical Affidavit is required.	<u>After Licensure:</u> NAIC Biographical Affidavit and Notifications are not required for new officers and/or directors OR amendments to officers and/or directors.
WI	<u>Licensure:</u> NAIC Biographical Affidavit required (but not fingerprints or Independent third-party verifications) <u>After Licensure:</u> NAIC Biographical Affidavit required for any changes in Directors, Officers or Key Managers (but not fingerprint or Independent third-party verifications)	<u>Expansion:</u> NAIC Biographical Affidavit required (but not fingerprints or Independent third-party verifications) <u>Corporate Amendment:</u> NAIC Biographical Affidavits are required for the office of President and/or Chief Executive Officer (CEO) only, or the changes of those officers. Independent Third-Party Verifications are not required.	Written notices for any changes in the company president or secretary. (Bios, Fingerprints and Independent Third-Party Verifications are not required.)
WY	<u>Licensure:</u> NAIC Biographical Affidavit and Independent Third-Party Verification. <u>After Licensure:</u> NAIC Biographical Affidavits are required for changes in Officers, Directors or Key Managerial Personnel.	<u>Expansion:</u> NAIC Biographical Affidavit and Independent Third-Party Verification. <u>Corporate Amendment:</u> NAIC Biographical Affidavit are required for the office of President and/or Chief Executive Officer (CEO) only, or the changes of those officers. Independent Third-Party Verifications are NOT required.	NAIC biographical affidavit is only required for new President/CEO, within 90 days.