

Frequently Asked Questions for the Electronic Applications

Industry

Question 1: What are the advantages to completing the UCAA application electronically?

Answer: The electronic application is an information-based application as opposed to a form-based application. This means it will decrease the time and effort in completing the form by pre-populating duplicate information.

Question 2: Why do the forms appear differently in the electronic application than the downloaded forms on the UCAA web site?

Answer: The electronic application is information based. The forms are broken down by importance and duplicate information is pre-populated into the other forms automatically. To view the form in its entirety, select the view/print button on the main menu of the electronic application.

Question 3: If I began a Corporate Amendment prior to February 18, 2006 can that information be copied into the New Corporate Amendment electronic application?

Answer: No, the new application stores data in different tables than the old version. The newer version has enhancements that make the application process easier.

Question 4: Where do I attach the files for the Public Records Package?

Answer: If the State does not require original signatures or certified copies then the attachments should be placed in the state specific requirements attachment button. Refer to the State Specific section on the UCAA home page.
http://www.naic.org/industry_ucaa.htm

Question 5: What if I have more than 5 attachments?

Answer: Each attachment button will allow the user to place five attachments. Files may be attached in any of the attachments sections. Remember to name each attachment specifically so that the regulators can identify your file. (Example: FinExamRpt.doc.)

Questions 6: Why is the electronic Questionnaire numbered differently than the downloaded version on the UCAA web site?

Answer: The Questionnaire in the electronic application does not provide a question for the Pro Forma. There is an attachment button specifically for the Pro Forma. The hardcopy will have an additional numbered question than the electronic Questionnaire.

Question 7: Why do I receive a “run-time error” when loading my expansion states on the Pro Forma?

Answer: When selecting more than 20 states the macro may lock up. To prevent this error, select up to 20 states and save the spreadsheet then select the remaining states before entering your financial data.

Question 8: Can a Corporate Amendment application be amended to include other changes types?

Answer: No. The Change Type Selection screen is available the first time you “Start” a Corporate Amendment application. If you need to add more change types to your application then you need to delete the old application and begin a new one to include the necessary change types.