

Frequently Asked Questions for the Expansion and Corporate Amendment Electronic Applications

Industry Only

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

Response: The electronic application is an information-based application as opposed to a form-based application. This means a decrease in time and effort for the applicant in completing the application with the automatic pre-population of duplicate information.

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

Response: The electronic version was designed as information based application. The forms appear in order of importance and duplicate information is automatically pre-populated into the other forms, although any pre-populated information can be overwritten by the applicant. To view the form in its entirety, select the view/print button located on the main menu of the electronic application.

Question 3: Where do I attach the required files for the Public Records Package?

Response: If the state does not require original signatures or certified copies, then the document files should be attached by selecting the state specific requirement attachment button. Refer to the Public Records Package chart located on the UCAA Web page.
http://www.naic.org/documents/industry_ucaa_chart_public_records.pdf

Question 4: Why is the Questionnaire numbered differently in the electronic application?

Response: The Questionnaire in the electronic application does not provide a question regarding the Pro forma. An attachment button is provided specifically for the Pro Forma excel attachment.

Question 5: Why do I receive a “run-time error” when loading my state worksheets in the Pro forma?

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

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Question 6: Why are the cells in the Pro Forma password protected?

Response: The Pro Forma worksheet is a somewhat complicated form with extremely large macros imbedded within the worksheets, it is extremely important not to accidentally overwrite the existing formulas. If copying or importing information into the Pro Forma from another document, be sure to copy and use paste special instead of just paste. Paste special will allow the option of selecting values only instead of formula. If paste is used the formulas imbedded in the excel file will not work and you will need to begin the process over again or email your excel spreadsheet to the NAIC to be reconfigured.

Question 7: Can a Corporate Amendment application be amended to include other change types?

Response: No, the change type selection screen is available only when you first begin a new corporate amendment application. If you need to select an additional change type to your existing application you will need to begin a new application. The application selection screen provides a delete button to remove duplicate application if necessary.