

It is important to read the UCAA instructions, FAQs and state charts BEFORE calling the states with questions that can be answered by information found on the UCAA web page.

General Questions

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: Which applications can be filed electronically?

Answer: All foreign state applications can be filed electronically. This includes Expansion applications and non-domiciliary corporate amendment applications.

Question 3: Why do the forms appear differently in the electronic application than the downloaded forms on the UCAA web site?

Answer: The electronic application is an information-based application. 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/download button on the main menu of the electronic application.

Question 4: 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.

Questions 5: 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 6: Can a Corporate Amendment application be amended to include other change 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.

Question 7: Why are the spreadsheet cells password protected in the Pro Forma?

Answer: 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 “paste special” instead of just “paste”. Paste special will allow the option of selecting paste values only instead of paste formula. If paste is used the formulas imbedded in the excel spreadsheet will not work and you will need to begin the process over again or email your excel workbook to the NAIC to be reconfigured.

Question 8: When submitting a Corporate Amendment Change of City within the State of Domicile can a Change of Address/Contact Notification, Form 14, also be submitted within the same application?

Answer: Form 14, Change of Address/Contact Notification is a separate electronic application, but it can be included as an attachment for a Change of City, corporate amendment electronic application. Form 14 is located on the UCAA Web site as a Word doc. Complete this form, save to your hard drive and attach using the State Specific attachment button.

Question 9: Our Company name has changed (XYZ Co.) but the electronic application shows the old company name (ABC Co), when is the company name updated?

Answer: Once your company has received domiciliary state approval for the name change and prior to beginning your corporate amendment application, forward a copy of the approval or new certificate of authority via email to: FDRCCREQ@NAIC.ORG attention: Jennifer Heinz.

Attachment Questions

Question 10: 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 11: Where do I attach the Biographical Affidavit?

Answer: Any attachment button can be used to attach the Biographical Affidavit. Be sure to name your files appropriately so they are easily identified. The file name should include the title of the affiant, i.e. officer, director, etc.

Question 12: How should a document or attachment be named when uploaded into the electronic application?

Answer: To reduce a delay in the review of your application, it is extremely important to name your document with the appropriate identifiers. When applying to multiple states include the state abbreviation in the file name, for example: MO_Min_Cap_Surplus, to identify the minimum capital and surplus requirements for the state of Missouri. It is also important to include this title on the actual document; either as a footnote or header identifying the document when printed, so it is easily identifiable.

For Example: Form 8_Q15 (E) to indicate a response to Form 8 Questionnaire, Question 15 part E.

Amending the Electronic Application

Question 13: I applied to multiple states and I've been requested to provide an updated attachment for a particular state even though half of the other states have already approved the application, can I amend the application for only one state?

Answer: No, when an electronic application is amended, the amendment will be for all states included in the original application. Keep in mind that the UCAA email can be sent to a particular/specific state with the attachment.

Question 14: When should I amend an application?

Answer: An application should be amended if your update changes the information on any UCAA form, the proforma or corporate record, not including state specific forms. When amending the application please note the following important information:

- 1) The response to question #3 of the amendment will be included in the body of the email notification that is sent directly to all states included in the original application.
- 2) Once your changes have been made to the application, you must return to the Main Menu and "Finish" the application. All applications in amended status are NOT viewable by the state(s), this means that your application is not being reviewed.