

Applicant Name: \_\_\_\_\_

NAIC No. \_\_\_\_\_

FEIN: \_\_\_\_\_

### Uniform Certificate of Authority Application (UCAA)

Corporate Amendments Application Checklist

For Corporate Amendments Application Only

The application checklist is intended to help guide you with assembling your complete Corporate Amendments Uniform Certificate of Authority Application (UCAA). Please be sure to complete the checklist by appropriately marking the boxes on the left side of the page prior to submitting your application for review. The completed checklist should be attached to the top of the application.

#### Regulator Use Only

1. **Application Form** (pursuant to Sections II-V, and VII – X Filing Requirements, Item 1 or Section II, Item 11) containing: 
  - Completed Corporate Amendments Application Checklist (Form 1C)
  - Original UCAA Corporate Amendments Application Form executed, signed and Attachments (Form 2C)
  - Original Certificate of Authority or an Affidavit of Lost Certificate of Authority (not applicable for Sections IX and X)
2. **Filing Fee** (pursuant to Sections II-V, and VII – X Filing Requirements, Item 2 or Section II, Item 11) containing: 
  - Payment of required filing fee
  - Copy of check
3. **Articles of Incorporation/Articles of Merger** (pursuant to Sections II-V, VII, and IX Filing Requirements, Item 3) 
  - Submit documentation as listed in Sections II-V, VII, and IX Filing Requirements, Item 3
4. **Bylaws** (pursuant to Sections II-V, VII, IX and X Filing Requirements, Item 4) 
  - Submit documentation as listed in Sections II-V, VII, IX and X Filing Requirements, Item 4
5. **Lines of Insurance** (pursuant to Section II Filing Requirements, Item 1) 
  - Include all lines of insurance applicant is licensed to transact, currently transacting and requesting authority to transact in all jurisdictions (Form 3)
6. **Minimum Capital and Surplus Requirements** (pursuant to Sections II, and VII Filing Requirements, Item 5) 
  - Provide explanation of compliance with minimum capital & surplus requirements for state for which application is prepared
7. **Statutory Deposit Requirements** (pursuant to Sections II, and VII, Filing Requirements, Item 6) 
  - Submit documentation as listed in Sections II, and VII Requirements, Item 6
8. **Plan of Operation** (pursuant to Sections II, and VII Filing Requirements, Item 7 or Item 11) 
  - Completed Questionnaire (Form 8C) per Section II, Item 7
  - Pro Forma (Form 13)
  - Narrative

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9. **Deleting Lines of Business** (pursuant to Section II, Item 11)
- Questionnaire (Form 8C), complete Section II, questions 22 through 25
10. **Statutory Membership(s)** (pursuant to Sections II, and VII Filing Requirements, Item 8)
- Submit documentation as listed in Sections II, and VII Filing Requirements, Item 8
11. **Certificate of Compliance** (pursuant to Section II Filing Requirements, Item 9)
- Original Certificate of Compliance completed by domiciliary state insurance regulatory agency (Form 6)
12. **State-Specific Information** (pursuant to Section II Filing Requirements, Item 10, Section III Filing Requirements, Item 7, Section V Filing Requirements, Item 6, and Section VII Filing Requirements, Item 12, Section IX Filing Requirements, Item 6, and Section X Filing Requirements, Item 5)
- Some jurisdictions may have additional requirements that must be met before approval can be granted or the amended Certificate of Authority can be issued. Before completing a UCAA Corporate Amendments Application the applicant should review a listing of requirements for the state to which you are applying. That listing can be found at [http://www.naic.org/ucaa/state\\_charts/state\\_charts.htm](http://www.naic.org/ucaa/state_charts/state_charts.htm)
13. **Uniform Consent to Service of Process** (pursuant to Sections III, IV, and V Filing Requirements, Item 5, Section VII Filing Requirements, Item 10, and Section VIII Filing Requirements, Item 7)
- Original executed Service of Process form (Form 12)
14. **State of Domicile Approval** (pursuant to Sections III, IV and V Filing Requirements, Item 6 and Section VII Filing Requirements, Item 11, Section IX Filing Requirements, Item 5 and Section X Filing Requirements, Item 4)
- Submit documentation as listed in applicable Sections III, IV, and V, Item 6, Section VII Filing Requirements, Item 11, Section IX Filing Requirements, Item 5 and Section X Filing Requirements, Item 4
15. **NAIC Biographical Affidavit** (Form 11) (pursuant to Sections VII and VIII Filing Requirements, Item 9)
- for the following:
- Officers (As listed on Jurat Page of most recent financial statement.)
- Directors (As listed on Jurat Page of most recent financial statement.)
- Key managerial personnel (Including any Vice Presidents or other individuals who will control the operations of the applicant.)
16. **Name Approval** (pursuant to Section III Filing Requirements Item 8)
- Evidence of name approval request