

Last Revised on 6/23/17

Company Licensing Working Group

The **National Treatment and Coordination (E) Working Group** is co-chaired by Jill Jacobi, California Department of Insurance and Jeff Hunt, Texas Department of Insurance. The **Company Licensing Transactions (E) Subgroup** chair is Jill Jacobi, California. These groups were established to address and review the Company Licensing Model Act #320 with regards to the Primary and Expansion applications, along with the hard copy requirements for the electronic UCAA format, and other issues with the electronic UCAA tool as needed. The **Biographical Third-Party Review (E) Subgroup** is chaired by Gayle Pasero, Washington State Office of the Insurance Commissioner and was established to vet the background reporting agencies listed on the UCAA website; continually examine the biographical affidavit requirements; background investigation report guidelines and processes. Any questions or concerns contact Jane Barr jbarr@naic.org. Proposal for UCAA forms and instructions are posted on the UCAA home page. All suggested changes should utilize the proposal form and be sent via email to Jane Barr jbarr@naic.org. For updates to the state charts or the UCAA webpage email Crystal Brown cbrown@naic.org.

Important Information

NOTE: Forms will be accepted up to one year from the signature date, the most recent form should be utilized, check the revision date on each form and verify the posting date, listed below. States can accept prior versions as long as the application is submitted prior to the posting date, with the exception of Form 6 – Certificate of Compliance and Form 7 – Certificate of Deposit which may only be accepted up to 6 months or 1 year depending on the state’s requirement. Please check the **Certificate of Compliance and Certificate of Deposit Requirements chart** for each state’s requirements. The copyright date of the form should not be older than the revision date. **The electronic application is automatically updated to the most recent copyright and revision date of each form.** Contact Jane Barr jbarr@naic.org for all training requests regarding the UCAA application and the Form A Database.

| Website and Electronic Application Updates | |
|---|--------------------|
| Description of Change | Posted Date |
| Form 12 – a separate field for the authorization date was added to the electronic application. | 04/21/2017 |
| Form 2C – was modified to validate the application information according to the change type selected. All required (*) information must be completed before the application can be submitted. | 03/17/2017 |
| The Letter of Good Standing Templates for Life and Non-Life companies has been added to the Company Licensing page on StateNet | 02/28/2017 |
| Form 2C – A dropdown field to add the non-surviving entity’s cocode has been added to page 1 for a Merger of Two or More Foreign Insurers | 12/09/2016 |
| Form 2C – The question “Has the Applicant Company’s designee to appoint and remove agents changed as a result of this corporate amendment?” was added to the electronic application. | 08/19/2016 |
| Form 12 – Uniform Consent to Service of Process was added as a stand-alone application to the UCAA electronic application. | 03/26/2016 |
| New links were added to the UCAA webpage for Company Licensing Events and UCAA Definitions. | 04/03/2015 |

| Instructions and Best Practices | | |
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| Instructions/ Best Practices | Description of Change | Revision Date |
| Best Practices | Best Practices were added for the Review of the Plan of Operations (Proforma, Financial Statements, Narrative/Business Plan and Questionnaire) | 04/10/2017 |
| Best Practices | Best Practices were added for the Uniform Consent to Service of Process application. | 12/12/2016 |

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| Instructions | Instructions were added for the Uniform Consent to Service of Process application. | 12/12/2016 |
| Best Practices | The Corporate Amendment Application – Redomestication was revised in Section 1 for Form 3 and the Lines of Business Matrix | 12/12/2016 |
| Instructions | The Corporate Amendment instructions were revised for a Merger of Two or More Foreign Insurers for the non-surviving entity. | 12/12/2016 |
| Best Practices | The Primary Application Review Checklist was added to Appendix A of the Best Practices as well as references to the checklist in the Primary Application Section. | 08/28/2016 |
| Best Practices | The Corporate Amendment Application – Merger of Two or More Foreign Insurers were revised for Form 3. | 08/28/2016 |
| Instructions | The Corporate Amendment Instructions for a Merger of Two or More Foreign Insurers were revised in Step 2 to include a reference for referring to the UCAA FAQs-General. | 08/28/2016 |
| Instructions | <p>The UCAA Primary, Expansion and Corporate Amendment Application Instructions were updated on the UCAA webpage.</p> <ul style="list-style-type: none"> • The following changes were made to the Primary, Expansion and Corporate Amendment instructions: <ul style="list-style-type: none"> ○ Reference for “Applicant Company” was added. ○ The “How to File” section was updated. ○ Plan of Operation/Proforma Instructions were updated • The reference for “Holding Company Act Filings” and instructions were updated for the primary and expansion application. • The Statutory Deposit Certificate instructions were updated for the expansion and corporate amendment application. | 11/18/2014 |

| Definitions and FAQ's | | |
|---------------------------------|--|---------------------------|
| <u>Definitions/FAQ's</u> | <u>Description of Change</u> | <u>Posted Date</u> |
| FAQ's | A new FAQ was added to the FAQ's – Biographical Affidavits for memberships | 06/22/2017 |
| FAQ's | FAQ's 13- 16 were revised and added for a Corporate Amendment – Merger of Two or More Foreign Insurers. | 12/09/2016 |
| Definitions | The definition for “Admitted” was revised. | 10/14/2016 |
| FAQ's | A new FAQ was added to the FAQ's – General for filing a merger application when the surviving company and non-surviving company are not authorized for the same lines of business. | 10/14/2016 |
| Definitions | Definitions adopted by the NTC(E)WG for Alien Insurer, Domestic Insurer, Domiciliary State and Foreign Insurer were added to the UCAA Definitions on the UCAA webpage. | 01/12/2016 |

| Form 1 - Checklist | | |
|---|---|---------------------------|
| <u>Description of Change</u> | <u>Revision Date/Adoption Date</u> | <u>Posted Date</u> |
| Form 1C, Item 1. Application Form was updated to include Section VIII in ” Original Certificate of Authority or an Affidavit of Lost Certificate of Authority (Form 15) (not applicable for Sections VIII, IX and X)” | 11/18/2014 | 10/14/2016 |
| Form 1E & Form 1P - Language was added to the checklists for consistency with the instructions. The change adds clarifying language to identify the requirements for Reports of Examination section. | 03/30/2015 | 04/17/2015 |
| Form 1C – Section VIII was added to the Plan of Operation and revised the Certificate of Deposit for Statutory Deposit Requirements section. | 12/19/2014 Revision date | 12/19/2014 |

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| <i>Note: States should accept both the 11/18/14 and 12/19/14 revision date for Form 1C for applications submitted on or before 8/3/16.</i> | should have been 11/18/14 | |
| Form 1E & 1P – Revisions were made to 7. Holding Company Act Filings and Form 1C, 1E & 1P Applicant Company reference was added. | 11/18/2014 | 12/4/2014 |

| Form 2 - Application | | |
|---|------------------------------------|--|
| <u>Description of Change</u> | <u>Revision Date/Adoption Date</u> | <u>Posted Date</u> |
| Form 2C – was modified to group relevant application information according to change type selected. | 02/28/2017 | 03/17/2017 (electronic application) 05/11/2017 (word and PDF) |
| Form 2C – a text box to include the name and cocode of the non-surviving entity were added to Page 1 for a Merger of Two or More Foreign Insurer. | 08/29/2016 | 12/09/2016 |
| Form 2C – Change of City of Domicile within Domestic State/Mailing Address was changed to Change of Statutory Home Office Address | 08/29/2016 | 10/14/2016 |
| Form 2E - A new question was added that asks if the Applicant Company is a member of a group or is required to file an Own Risk Solvency Assessment (ORSA) report. | 08/18/2014 | 04/17/2015 |
| Form 2C – Added the following: previous and new group name; previous and new state for a redomestication; effective date of merger; effective date of change of control of a foreign insurer and the previous and new group code. | 08/18/2014 | 12/19/2014 |
| Form 2P – The term “Applicant Company” was added to be used uniformly in all UCAA forms. | 08/18/2014 | 12/04/2014 |

| Form 3 – Lines of Business Revisions | | | |
|---|--|----------------------|--------------------|
| <u>State</u> | <u>Line of Business</u> | <u>Revision Date</u> | <u>Posted Date</u> |
| Texas | Updated Footnotes (c) and (e). | 03/03/2017 | 03/03/2017 |
| Pennsylvania | Updated the website link in Note 3 to: http://www.insurance.pa.gov/Documents/libc-211i-rev-08-2012.pdf | 09/15/2016 | 02/13/2017 |
| Arizona | Added a new line of business for Recognized Surplus Lines A.R.S. §§ 20-407.01 & 20-409 | 09/15/2016 | 09/16/2016 |
| Vermont | Added statute/regulation reference for the Variable Annuity and Variable Life lines of business to include “(Section 3301(a)(1))” with “(Section 3857).” | 07/27/2016 | 07/29/2016 |
| Virginia | Removed Modified Guaranteed Life #71 and Modified Guaranteed Annuities #72 | 03/03/2016 | 03/03/2016 |
| New Hampshire | Revised description of the Liability/Casualty Coverages, including Workers’ Compensation (RSA 401.1.V) and Other Casualty Risks. Insurance against any other casualty risk not otherwise specified under paragraph V. (RSA 401.1, VIII) lines of business. | 01/12/2016 | 01/12/2016 |
| South Dakota | Deleted the line of business for (23-B) Prepaid Legal | 09/08/2015 | 09/08/2015 |
| California | Deleted the line of business for Mortgage (CIC 117) | 08/14/2015 | 08/14/2015 |
| Kansas | Added a new line of business for Cost of Legal Services | 07/01/2015 | 07/01/2015 |

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| Texas | Deleted the line of business Prepaid Legal Services (h) and Footnote (H) Prepaid Legal Services business also has a separate policy forms filing requirements. | 03/04/2015 | 03/04/2015 |
| District of Columbia | Updated line (21.1) Private Passenger Auto Physical Damage (Sec. 31-2502.11) and added (20) Glass (Sec-2502.11) | 02/18/2015 | 02/18/2015 |

| Lines of Business Matrix Revisions | | |
|------------------------------------|---|---------------|
| State | Line of Business | Revision Date |
| Vermont | Added statute/regulation reference to the Variable Annuities line of business "and (§ 3857)" | 07/27/2016 |
| Connecticut | Added a line of business reference to 15.4 Non-renewable for stated reasons only; 15.6 Medicare Title XVIII exempt from state taxes or fees; 17.3 Excess Workers' Compensation; 30 Warranty and Health Care Center (HMO). | 08/26/2015 |
| Kansas | Added a new line of business for Cost of Legal Services | 07/01/2015 |
| Texas | Deleted references to Prepaid Legal Services (h) in Lines: 23 Fidelity; 34 Aggregate write-ins for other lines of business ; and Life | 03/04/2015 |
| Florida | Updated the statute/regulation references for all annual statement lines of business on the Matrix | 03/02/2015 |

| Form 6 – Certificate of Compliance | | |
|--|---------------------------------|-------------|
| Description of Change | Revision Date/ Adoption Date | Posted Date |
| Corrected the formatting/spacing for the date. | 08/18/2014 | 04/04/2017 |
| The term "Applicant Company" was added to be used uniformly in all UCAA forms. | 08/18/2014 | 12/04/2014 |

| Form 7 – Certificate of Deposit | | |
|---|---------------------------------|-------------|
| Description of Change | Revision Date/ Adoption Date | Posted Date |
| The NTC(E)WG adopted the addition of "___Policyholders or Creditors" to the "For benefit of" section. | 08/17/2015 | 02/19/2016 |
| The term "Applicant Company" was added to be used uniformly in all UCAA forms. | 08/18/2014 | 12/04/2014 |

| Form 8 – Questionnaire | | |
|---|---------------------------------|-------------|
| Description of Change | Revision Date/ Adoption Date | Posted Date |
| Form 8 - A new sub-question F. was added to Question 15. The new requirement will require the Applicant Company to attach a copy of their investment policy as part of the questionnaire. The new requirement pertains only to a primary and redomestication application. | 11/18/2014 | 12/04/2014 |
| Form 8 and 8C – The term "Applicant Company" was added to be used uniformly in all UCAA forms. | 08/18/2014 | 12/04/2014 |

| Form 11 – Biographical Affidavit | | |
|--|---------------------------------|-------------|
| Description of Change | Revision Date/ Adoption Date | Posted Date |
| The term "Applicant Company" was added to be used uniformly in all UCAA forms. | 08/18/2014 | 12/04/2014 |

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| Form 12 – Uniform Consent to Service of Process | | |
|--|---|--------------------|
| <u>Description of Change</u> | <u>Revision Date/ Adoption Date</u> | <u>Posted Date</u> |
| The NTC(E)WG adopted the addition of a signature date for the Secretary to be added to the Resolution page | 11/21/2015 | 02/19/2016 |
| Minnesota can now accept Form 12. The Exhibit A was updated to reflect the changes for the Minnesota requirements. | 11/21/2015 | 02/19/2016 |
| The term “Applicant Company” was added to be used uniformly in all UCAA forms. | 08/18/2014 | 12/04/2014 |

| Form 13 – Proforma | | |
|---|---|--------------------|
| <u>Description of Change</u> | <u>Revision Date/ Adoption Date</u> | <u>Posted Date</u> |
| Health – LOB Analysis Tab, the XXX were removed from Lines 6 & 15 for the Other Non-Health Column and formulas were updated to include these amounts. | 10/07/2016 | 10/07/2016 |
| Health – The format type was updated to .xls | 01/20/2015 | 01/20/2015 |
| The term “Applicant Company” was added to be used uniformly in all UCAA forms for Life, Health, P/C and Title. | 08/18/2014 | 12/04/2014 |

| Form 14 – Change of Address/Contact Notification Form | | |
|--|---|--------------------|
| <u>Description of Change</u> | <u>Revision Date/ Adoption Date</u> | <u>Posted Date</u> |
| The NTC(E)WG adopted a requirement for a toll free/instate phone number to be listed for the claims information contact; consumer complaints contact; and policyholder information contact. | 04/10/2017 | 04/21/2017 |
| The NTC(E)WG adopted changes to include: 1) Modifications to the language under the Name Change, Mailing Address/Contact Change and Notes sections; 2) the addition of the Fraud Assessment Invoice Contact; and 3) clarification to the line description for the “Name of MGA.” | 08/17/2015 | 02/19/2016 |
| The term “Applicant Company” was added to be used uniformly in all UCAA forms. | 08/18/2014 | 12/04/2014 |

| Form 15 – Affidavit of Lost Certificate of Authority | | |
|---|---|--------------------|
| <u>Description of Change</u> | <u>Revision Date/ Adoption Date</u> | <u>Posted Date</u> |
| Original Development of the Form | 3/28/2010 | |

| Form 16a – Statement of Voluntary Dissolution and Form 16b – Statement of Voluntary Dissolution RRG’s | | |
|--|---|--------------------|
| <u>Description of Change</u> | <u>Revision Date/ Adoption Date</u> | <u>Posted Date</u> |
| Form 16b – Original Posting of the Form and Instructions | 04/25/2014 | |
| Form 16a – Original Development of the Form and Instructions | 08/16/2010 | |

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| Form 17 – Statement of Withdrawal | | |
|--|--|---------------------------|
| <u>Description of Change</u> | <u>Revision Date/ Adoption Date</u> | <u>Posted Date</u> |
| The term “Applicant Company” was added to be used uniformly in all UCAA forms. | 08/18/2014 | 12/04/2014 |