

UNIFORM CERTIFICATE OF AUTHORITY APPLICATION

Public Records Requirements

A link to the Application instructions for [Expansion Application, Section II, Filing Requirement Item 11](#) is provided.

Type of Filing	AL	AK	AZ	AR	CA	CO	CT	DE	DC	FL	GA	HI	ID
FINANCIAL													
Annual Statement	Y	Y^	Y^	Y^	Y	Y^	Y	Y	Y^	#Y^	Y^	Y	Y
Management's Discussion	Y	Y^	Y^	Y^	Y	Y^	Y	Y	Y^	#Y^	Y^	Y	Y^
Actuarial Opinion	Y	Y^	Y^	Y^	Y	Y^	Y	Y	Y^	#Y^	Y^	Y	Y^
Audited Financial Statement	Y	Y^	Y^	Y^	Y	Y^	Y	Y	Y^	#Y^	Y^	Y	Y
Market Conduct Examination		Y	Y	Y^		Y	Y	N	Y	#Y^	Y	Y	Y^
Financial Examination Report	Y	Y^	Y^	Y^	Y	Y^	Y^	Y	Y^	#Y^	Y^	Y^	Y^
Quarterly Statements	N	Y^	Y^	Y^	Y	Y^	Y	Y	Y^	#Y^	Y^	Y	Y

OPERATIONAL													
Application Form		Y	Y^	Y	Y	Y	Y	Y	Y	Y^	Y		Y^
Articles of Incorporation	Y	Y	Y^	Y	Y	Y	Y	Y	Y	Y^	Y	Y	Y^*
Appointment for Service of Process		Y	Y^	Y			Y	Y	Y	Y^	Y	Y	Y^
Bylaws	Y	Y	Y^	Y	Y		Y	Y	Y	Y^	Y	Y	Y^**
Holding Company Files	N	N	N	Y*			Y*	N	Y	Y^	Y	N	Y

Type of Filing	IL	IN	IA	KS	KY	LA	ME	MD	MA	MI	MN
FINANCIAL											
Annual Statement	Y^	Y^	Y^	Y^	#Y^	Y^	Y^	Y^	Y^	#Y	#Y
Management's Discussion	Y^	Y^	Y^	Y^	#Y^	Y^	Y^	Y^	Y^	#Y	#Y^
Actuarial Opinion	Y^	Y^	Y^	Y^	#Y^	Y^	Y^	Y^	Y^	#Y	#Y^
Audited Financial Statement	Y^	Y^	Y^	Y^	#Y^	Y^	Y^	Y^	Y^	#Y	#Y^
Market Conduct Examination	Y	Y	Y	Y^	#Y^	Y	Y^		Y^	#Y	#N
Financial Examination Report	Y	Y^	Y^	Y^	#Y^	Y	Y^	Y^	Y^	#Y	#Y^
Quarterly Statements	Y^	Y^	Y^	Y^	#Y^	N^	Y^	Y^	Y^	#Y	#Y

OPERATIONAL											
Application Form	Y	Y	Y	Y^	Y	Y	Y^	Y	Y	Y	Y
Articles of Incorporation	Y	Y	Y	Y^	Y	Y	Y^	Y	Y	Y	Y
Appointment for Service of Process	Y	Y	Y	Y^	Y	Y	Y^	Y	Y	Y	Y
Bylaws	Y	Y	Y	Y^	Y	Y	Y^	Y	Y	Y	Y
Holding Company Files	N	N	N	N	Y		Y^	N	N	Y	N

Type of Filing	MS	MO	MT	NE	NV	NH	NJ	NM	NY	NC	ND	OH	OK	OR
FINANCIAL														
Annual Statement	Y^	Y^	Y^	Y^	Y^	Y	Y^	Y^	Y^	Y^	Y^	Y^	Y^	#Y
Management's Discussion	Y^	Y^	Y^	Y^	Y^	Y^	Y^	Y^	Y^	Y^	Y^	Y^	Y^	#Y
Actuarial Opinion	Y^	Y^	Y^	Y^	Y^	Y^	Y^	Y^	Y^	Y^	Y^	Y^	Y^	#Y
Audited Financial	Y^	Y^	Y^	Y^	Y^	Y	Y^	Y^	Y^	Y^	Y^	Y^	Y^	#Y

Statement														
Market Conduct Examination	Y^	Y	Y	Y		N	Y^	Y^	Y	Y	Y^	Y	Y	#Y
Financial Examination Report	Y^	Y^	Y^	Y^	Y^	Y^	Y^	Y^	Y^	Y^	Y^	Y^	Y^	#Y
Quarterly Statements	Y^	Y^	Y^	Y^	Y^	Y	Y^	Y^	Y^	Y^	Y^	Y^	Y^	#Y

OPERATIONAL

Application Form	Y^	Y	Y	Y		Y	Y	Y^	Y	Y	Y^	Y	Y^	Y
Articles of Incorporation	Y^	Y	Y	Y	Y	Y	Y	Y^	Y	Y	Y	Y	Y^	Y
Appointment for Service of Process	Y		Y	Y		Y	Y	Y^	Y	Y	Y^	Y	Y	
Bylaws	Y^	Y	Y	Y	Y	Y	Y	Y^	Y	Y	Y	Y	Y^	Y
Holding Company Files	Y^	N	Y	Y**		N	Y	Y^	N	N	Y**	N	Y^	N

Type of Filing	PA	PR	RI	SC	SD	TN	TX	UT	VT	VA	WA	WV	WI	WY
FINANCIAL														
Annual Statement	Y^	Y^#*	Y^	Y^	Y^	Y	Y^	Y^	Y^	Y^	Y^	Y^	Y*	Y^
Management's Discussion	Y^	Y^	Y^	Y^	N	Y	Y^	Y^	Y^	Y^	Y^	Y^	Y*	Y^
Actuarial Opinion	Y^	Y^	Y^	Y^	Y^	Y	Y^	Y^	Y^	Y^	Y^	Y^	Y*	Y^
Audited Financial Statement	Y^	Y^#	Y^	Y^	Y^	Y	Y^	Y^	Y^	Y^	Y^	Y^	#Y	Y^
Market Conduct Examination		Y^*	Y	Y	Y	Y	N	Y				Y^	Y*	
Financial Examination Report	Y^	Y^*	Y^	Y^	Y^	Y	N^	Y^	Y^	Y^	Y^	Y^	Y*	Y^
Quarterly Statements	Y^	Y^#	Y^	Y^	Y^	Y	Y^	Y^	Y^	Y^	Y^	Y^	Y*	Y^
OPERATIONAL														
Application Form	Y^	**	Y	Y	Y	Y	Y^	Y	Y^	Y^		Y^	Y*	Y^
Articles of Incorporation	Y^	**	Y	Y	Y	Y	Y^	Y	Y^		Y	Y^	Y*	Y
Appointment for Service of Process	N	**	Y	Y	Y	Y	Y^	Y	Y^			Y^	Y*	Y
Bylaws	Y^	**	Y	Y	Y	Y	Y^	Y	Y^		Y	Y^	Y*	Y
Holding Company Files	Y**	N	N	N	N	N	**	N	N	Y^	Y**	**Y	Y*	Y*

- ✓ = This information has been updated by the State Department of Insurance.
- ^ = Will accept in electronic format.
- # = Jurat Page must be certified with original signatures, certification by domiciliary state is not necessary.
- * CT Not a public document will be held confidential.
- **NE Form A filing is public. Form B and other holding company act filings are Not Public per §44-2138.
- ** TX (Forms B's are not public record; however, pending transactions and Form A's are)
- ** WV Only Form A's are public documents. All other filings are held confidential.
- **PA Form A filings materials are generally public, Forms B and other insurance holding company act filings are Not public per 40 P.S. Section 991-1407.
- *PR Must have a certification by the domiciliary state.
- **PR Must submit a hard copy.
- *ID Must be certified by the domiciliary state.
- **ID Must be currently certified by the Companies Corporate Secretary.

- *AR Not a public document and will be held confidential.
- **ND Form A filing materials are generally public. Form Bs and other insurance holding company act filings are not public per N.D.C.C. 26.1-10-07.
- *WI Must submit a hard copy. Please submit the applicable fee made out to “Office of the Commissioner of Insurance” with the hard copy application materials.
- **WA Form A filing is public, Form B and other holding company filings are confidential per RCW 48.31B.038.
- *WY **Form A is generally public, but Forms B and other insurance holding company act filings are confidential per W.S. 26-44-110.**