

Last Revised on 9/24/18

Company Licensing Working Group

The **National Treatment and Coordination (E) Working Group** is co-chaired by Jeff Hunt, Texas Department of Insurance and Joel Sander, Oklahoma Insurance Department. This group was 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 Cameron Piatt, Ohio Department of Insurance 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
The UCAA Primary, Expansion and Corporate Amendment Instructions were changed from HTML format to PDF format on the UCAA webpage.	04/02/2018
The Application Selection Page in the electronic application was revised. For more detail, refer to the UCAA Industry User Guides on the UCAA webpage	12/08/2017
Corporate Amendment Attachments – Section references were updated based on changes to the Corporate Amendment instructions.	09/15/2017
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

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Instructions and Best Practices		
Instructions/ Best Practices	Description of Change	Revision Date
Instructions	The Corporate Amendment Adding/Deleting Lines of Business Instructions were revised to provide instruction that the Applicant Company should not apply for or retain any lines of business that they are not authorized to write in their domiciliary state.	08/06/2018
Instructions/ Best Practices	The Primary, Expansion and Corporate Amendment instructions were revised to allow for acceptance of the biographical affidavit for six months from the original signature date and a new background report for updated biographical affidavit. For calendar year 2018, the National Treatment and Coordination (E) Working Group agreed to extend the 6 month signature requirement to 12 months at each state's discretion. Effective 1/1/2019 signatures on the biographical affidavit will be required to be within 6 months of the application submission.	03/26/2018 06/22/2018
Instructions	The Corporate Amendment and Expansion instructions for biographical affidavits were modified add a Disclaimer of Control requirement if the individual with 10% or more beneficial ownership in the Applicant Company or the Applicant Company's ultimate controlling person does not file a biographical affidavit.	03/26/2018
Instructions	The Expansion and Corporate Amendment Instructions (Adding/Deleting Lines of Business and Merger) were revised to add references to review the Seasoning Requirements prior to submitting the application.	03/26/2018
Best Practices	Primary Application Review Checklist – revisions were made to Item 2 to clarify biographical affidavit requirements and the requirements for appointed actuaries and appointed CPA.	12/04/2017
Instructions	The Primary, Expansion and Corporate Amendment instructions were revised to specify that the application can be submitted in hard-copy or filed electronically. References to other tools on the UCAA website were added and references to a manual that is no longer provided were removed.	08/08/2017
Best Practices	Appendix D – Form A Review Best Practices were added to the Handbook and references to the new Appendix were added.	08/08/2017
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
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

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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
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Definitions and FAQ's		
<u>Definitions/FAQ's</u>	<u>Description of Change</u>	<u>Posted Date</u>
FAQ's	Questions 17 and 18 were added to the General FAQ's regarding “Adding and Deleting Lines of Business.”	06/26/2018
FAQ's	<p>The Biographical Affidavit FAQ's were revised to allow for acceptance of the biographical affidavit for six months from the original signature date and a new background report for updated biographical affidavit.</p> <p>For calendar year 2018, the National Treatment and Coordination (E) Working Group agreed to extend the 6 month signature requirement to 12 months at each state's discretion. Effective 1/1/2019 signatures on the biographical affidavit will be required to be within 6 months of the application submission.</p>	<p>04/02/2018</p> <p>06/22/2018</p>
Definitions	<p>The definition for “NAIC Biographical Affidavit” was revised from “not more than one year” to “not more than six months”</p> <p>For calendar year 2018, the National Treatment and Coordination (E) Working Group agreed to extend the 6 month signature requirement to 12 months at each state's discretion. Effective 1/1/2019 signatures on the biographical affidavit will be required to be within 6 months of the application submission.</p>	<p>04/02/2018</p> <p>06/22/2018</p>
FAQ's	The Biographical Affidavit FAQ's – Question 1 and 3 were revised for the clarification of key managerial personnel who are required to file the biographical affidavit and language was added to require Disclaimer of Affiliation/Control for individuals with 10% or more beneficial ownership in the Applicant Company or the Applicant Company's Ultimate Controlling Person.	04/02/2018
Definitions	Modification to add “cyber security” to the “Key Persons in Control Functions” definition was adopted by the NTC(E)WG.	12/08/2017
Definitions	Modifications to “State Charts” and “State-Specific Information” definitions were adopted by NTC(E)WG.	09/25/2017
FAQ's	FAQ's were developed for the Proforma and posted to the website	07/26/2017
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

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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
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Form 1 - Checklist		
Description of Change	Revision Date/ Adoption Date	Posted Date
Form 1C, 1E & 1P were revised to allow for acceptance of the biographical affidavit for six months from the original signature date	03/26/2018	04/02/2018
Form 1C, & 1E were updated to add clarification to key managerial personnel who are required to complete a biographical affidavit and language was added to require a Disclaimer of Control be filed for individuals with 10% or more beneficial ownership in the Applicant Company or the Applicant Company's Ultimate Controlling Person. Form 1P was update to add clarifying language for those individuals who are defined as key managerial personnel.	03/26/2018	04/02/2018
Form 1C & 1E – Sentence was added that the Form cannot be edited for electronic filings and additional items to the application should be attached via the UCAA portal or mailed directly to the state. Form 1C – Item 12 and 14 detail descriptions were revised.	12/04/2017	03/22/2018
Form 1C – Section references were updated based revisions to the Corporate Amendment instructions.	08/08/2017	09/15/2017
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. <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>	12/19/2014 Revision date should have been 11/18/14	12/19/2014
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		
Description of Change	Revision Date/ Adoption Date	Posted Date
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

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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			
State	Line of Business	Revision Date	Posted Date
Pennsylvania	Updated the website link in Note 3 to: http://www.insurance.pa.gov/Companies/DoingBusiness/Documents/LIBC_211I.pdf	01/19/2018	05/15/2018
New Mexico	The New Mexico lines of business were revised effective July 1, 2017 to: Life and Annuities (NMSA Section 59A-7-2); Accident and Health (NMSA Section 59A-7-3); Property (NMSA 59A-7-4); Casualty (NMSA Section 59A-7-6); and Variable Life and Annuity (NMSA Section 59A-7-7)	01/19/2018	01/19/2018
Illinois	Added three new lines of business: Fraternal Benefit Society [215 ILCS 5/282.1 et.seq.]; Health Maintenance Organization (HMO) [215 ILCS 125/1-1 et seq.]; Limited Health Service Organization (LHSO) [215 ILCS 130/1001 et seq.]	11/06/2017	11/06/2017
Hawaii	Revised line description for “Disability (Section 431:1-205, HRS)” to “Accident and Health Insurance (Section 431:1-205, HRS).” Added footnotes and revised footnote references for the Property Insurance, Vehicle Insurance, General Casualty Insurance and Ocean Marine.	10/13/2017	10/13/2017
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
California	The statute reference for Other Liability was revised to Liability (CIC 108)	09/24/2018
New Mexico	Updated for references to the new lines of business on the Matrix	01/19/2018
Hawaii	The statute reference for “Disability (Section 431:1-205, HRS)” was revised to “Accident and Health Insurance (Section 431:1-205, HRS).”	10/13/2017
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. <i>Note: States should accept both the 08/18/04 and 08/18/14 revision date for Form 6 for applications submitted on or before 08/31/2017. Certificates processed through the electronic application reflect the 8/18/2014 revision date.</i>	08/18/2004 Revision date should have been 08/18/14	04/04/2017
The term “Applicant Company” was added to be used uniformly in all UCAA forms. <i>Note: States should accept both the 08/18/04 and 08/18/14 revision date for Form 6 for applications submitted on or before 08/31/2017. Certificates processed through the electronic application reflect the 8/18/2014 revision date.</i>	08/18/2004 Revision date should have been 08/18/14	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	11/18/2014	12/04/2014

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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.		
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

<u>Description of Change</u>	<u>Revision Date/ Adoption Date</u>	<u>Posted Date</u>
The disclosure language in Form 11 was revised to reflect the six month signature requirement. For calendar year 2018, the National Treatment and Coordination (E) Working Group agreed to extend the 6 month signature requirement to 12 months at each state’s discretion. Effective 1/1/2019 signatures on the biographical affidavit will be required to be within 6 months of the application submission. <i>Note: States should accept both the 12/04/17 and 03/26/18 revision date for Form 11 submitted before 1/1/19.</i>	03/26/2018	06/11/2018 06/22/2018
Additional language was added to Form 11- Biographical Affidavit and the Supplement Information page regarding additional requirements for international searches.	12/04/2017	12/08/2017
The term “Applicant Company” was added to be used uniformly in all UCAA forms.	08/18/2014	12/04/2014

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

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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	

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

State Specific Information		
<u>State</u>	<u>Description of Change</u>	<u>Posted Date</u>
Nevada	Added requirement for address changes to be filed through the Nevada electronic portal at http://doi.nv.gov/Insurers/	05/17/2018
Connecticut	Updated the seasoning requirements from 3 years to 2 years based on Department policy	05/10/2018
South Dakota	A new link to the SD webpage was added: http://dlr.sd.gov/insurance/companies/company_licensing.aspx	04/23/2018
Wyoming	Updated the website link under Legal References to http://doi.wyo.gov ; updated the Reports of Examination section from 36 months to 60 months; added reference “(updated as of 3-9-18)” in the Seasoning Requirements section; and removed “Chapter 26 – Farm Mutual Property Insurers” from the Requirements for Wyoming Domestic Insurance Companies.	03/22/2018