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Insurer User Guide

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UCAA CORPORATE AMENDMENT – OVERVIEW

The electronic application for the Uniform Certificate of Authority Corporate Amendments is a Web-based system with three perspectives: 1) insurance company; 2) state of domicile; and 3) corporate amendments state(s). Insurance companies access the electronic application via a specific Internet address, also known as a uniform resource locator (URL).

The Uniform Certificate of Authority Application (UCAA) electronic application is information-based, not formed-based. Insurers will be presented with an electronic checklist of requirements. The electronic Corporate Amendments Application is customized to present the required information to each state involved for the selected filing. An X will appear in the “Completed” column of the electronic checklist as each item on the list is addressed. The application checklist also includes a list of required attachments. The application has a section for viewing and printing the application. When the Corporate Amendments Application is complete and submitted, a notification email will be sent to the submission state(s) and the state of domicile indicating that an application has been completed and requires certification for the following type of changes: 1) Merger of Two or More Foreign Insurers; 2) Adding Lines of Business; and 3) Redomestication of a Foreign Insurer.

The state of domicile should complete or attach the Certificate of Compliance (Form 6) and Certificate of Deposit (Form 7). Once completed, a notification email is sent back to the insurer and to the state(s) specified in the corporate amendments application.

The submission state(s) should acknowledge receipt of the filing and accept it for completeness. After the review process, the amendment should either be accepted or closed. A notification email of the final status of the filing is automatically sent once a determination is made.
COMPANY LOGIN

An insurance company may access the UCAA Electronic Corporate Amendments Application by using the following Internet address:

www.naic.org/industry_ucaa.htm

From the NAIC home page, the link is located at the bottom of the Web page, under Resources and Industry. Clicking the UCAA link will take the user to the UCAA home page. Useful UCAA-related links are available from this Web page. The links include:

- Electronic application links to login and user role information.
- “What’s New” lists the latest updates to the forms and instructions.
- Application instructions for the primary, expansion and corporate amendments applications.
- Third-party vendors that prepare and submit the background reports to the states.
- Frequently asked questions (FAQ) for all applications and biographical affidavits.
- UCAA definitions.

Click on the Electronic Application link to access the industry login page.

The insurer also may go directly to the electronic application by typing in the following Internet address:

https://ucaa.naic.org/login.html

Note: It is not required to type “www,” which is normally used to access a website on the Internet.

To request a login ID and password, click the request form link. The UCAA ID and Password Form will be displayed.
Before requesting a login ID and password, determine which type of user role to request. To deactivate a login ID, contact the NAIC Help Desk at help@naic.org.

<table>
<thead>
<tr>
<th>Company Interface Roles</th>
<th>UCAA Role Name</th>
<th>Privileges</th>
</tr>
</thead>
<tbody>
<tr>
<td>Analyst/Examiner</td>
<td>UCAA_COMPANY_ANALYST_EXAMINER</td>
<td>Start New UCAA Application View Existing UCAA Application</td>
</tr>
<tr>
<td>Manager</td>
<td>UCAA_COMPANY_MANAGER</td>
<td>Complete Existing UCAA Application Amend Existing UCAA Application</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Industry (Company) side</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Start New UCAA Application</td>
<td>Ability to create (edit) a filing before submission (pressing finish button). Includes all attachments and download functionality except finish application.</td>
</tr>
<tr>
<td>Complete Existing UCAA Application</td>
<td>Ability to edit and view an existing filing, and submit the filing. Includes all attachments and download functionality.</td>
</tr>
<tr>
<td>View Existing UCAA Application</td>
<td>Ability to view the current version of a submitted filing, the status of the filing, with no edit capabilities. Includes all attachments and download functionality.</td>
</tr>
<tr>
<td>Amend Existing UCAA Application</td>
<td>Ability to modify or edit a submitted filing (Amend). This implies edit capabilities as well as the ability to submit (finish button) a filing which has already been previously submitted. Includes all attachments and download functionality.</td>
</tr>
<tr>
<td>Send Email</td>
<td>Ability to edit, attach documents and send emails.</td>
</tr>
<tr>
<td>View Email</td>
<td>Ability to view email index for a filing, and view selected emails in detail.</td>
</tr>
<tr>
<td>Attachments and Download</td>
<td>Ability to use all attachment buttons, including the questionnaire, proforma, application and general attachments. Download attachments/forms/email by creating a zipped (compressed) file on the user's PC. View/Print/Download individual forms.</td>
</tr>
</tbody>
</table>
Complete the UCAA ID and Password Form, select the appropriate UCAA role(s), and click the **Submit** button. Users who will prepare and submit an application should select both roles.

User role information and the login request form also is available from the UCAA login page.

Important note: Multiple company codes can be assigned to the same user ID. Contact the NAIC Help Desk for assistance. User IDs should never be shared.
Once an ID and password are issued, enter the information, and click the **Login** button.

A login verification screen appears, and the user information is displayed. Links to the UCAA checklist and instructions for both the expansion and corporate amendments applications are provided. User role information also is available on this page, as well as the ability to change a password. It is important to verify that the email address is correct; this is the address the state will use to communicate with the company if no other contact information is provided.

To begin a corporate amendment application, select an NAIC Company Code, and click the **Proceed** button.
APPLICATION SELECTION PROCESS

Choose the application type button; Corporate Amendment, Expansion, Notification/Form 14, Service of Process/Form 12, or Withdrawal/Form 17 to automatically start a new application.

![Application Selection]

Note: Only one corporate amendment application option can be selected on the Application Selection screen—Corporate Amendment, Notification/Form 14, Withdrawal/Form 17 or Service of Process/Form 12.

**Tracking Numbers**

A tracking number is assigned when a filing is created. A tracking number consists of seven or more digits. The three zeros following the dash reflect the revision number of the filing. The original filing will end in “000.” Once an application has been submitted and changes are made (amend) to the original filing, the tracking number will end with “001” for the first revision and “002” for the second and so forth. Submitted, non-submitted and amended filings will be displayed in the lower section of the Application Selection page located under Existing Applications for CoCode 15105 (example).
Existing Applications

Select a Non-Submitted application to continue a previously started filing. Submitted corporate amendments, notifications/Form 14 or Service of Process/Form 12 applications cannot be cloned to begin a new application, as with the electronic expansion applications. Statement of Withdraw, Form 17 application can be cloned. Amending an existing application will allow the user to update the selections previously made—i.e., change the response to the questionnaire, delete and submit an attachment. The Change Type column will display the selected change type for the corporate amendment application. The application type, tracking number and last accessed columns allow for ascending and descending sorting.

Note: In order to amend an existing application, the user will need to have the correct role assigned to his or her user ID.

Deleting Applications

The trash bin icon allows for deleting non-submitted applications only. A submitted application will need to be withdrawn and closed by the state(s), but it will still remain viewable.
CORPORATE AMENDMENTS APPLICATION INFORMATION

By selecting Notification/Form 14, Corporate Amendment, Withdrawal/Form 17 or Service of Process/Form 12, the required forms will appear on the Application Information page. All required forms must be completed before the application can be submitted.

A New Notification/Form 14 change should be selected when updating the mailing address or contact information. For statutory home office address updates, a corporate amendment change of statutory office application is required.

Once an application change type is selected, the user will be directed to the Application Information page when an application is first created. Several different combinations of change types are available, so the Application Information links will vary based on the change type selected. When selecting Merger of Two or More Foreign Insurers, verify the pre-populated information at the top of the application; it should match the new company information.

Note: Once the state of domicile has approved the initial application of a merger, contact the NAIC Data Services Department (jheinz@naic.org) to update the company information. Remember, this application is a change to the original certificate of authority and must be pre-approved by the state of domicile before a corporate amendment is submitted to all state(s) in which the insurer is licensed.

Change States

The Change States screen allows the user to select all states where a change is requested. The Select All button enables all states and applicable territories to be selected, if applying to multiple jurisdictions. The user should deselect any state/territory that does not require notification. The state of domicile by default is bolded and greyed out, only if the change type requires that the domiciliary state provide a certificate of deposit or compliance; the application cannot be accessed or viewed by the domiciliary state. When completing a New Service of Process/Form 12, states that do not accept Uniform Form 12 also will be greyed out and will not allow the user to submit an electronic filing to these states. Please
check state-specific requirements for those states that do not accept the Uniform Form 12; those requirements will need to be met for the application to be considered complete.

To view state-specific information on all U.S. territories, visit [www.naic.org/state_web_map.htm](http://www.naic.org/state_web_map.htm) or go to the NAIC home page and select Map in the banner. These links also are available on the UCAA home page under the state-specific information heading.

**Note:** Puerto Rico accepts the Uniform Consent to Service of Process.
Contact Information

The Address/Contact Change page contains information/instructions for the contact information and addresses. The first screen provides check boxes for each contact change.

Note: The Change of Address/Contact Notification screen has a check box in place of the Signature of Preparer. Selecting this box is the equivalent to an actual signature. To access the Contact Address screen, use the button located at the bottom of the page. The date of preparation must be entered in order to proceed to the second page.
Contact Change Notification

The information provided on the Change of Address/Contact Notification screen is similar to the corresponding pages of the hardcopy Form 14. The items checked on the previous page determine the required address information on this page.

The company contact information can be populated into other contact types by selecting the box next to the contact name; only the contacts selected will copy the contact information entered on the current page.

Helpful hint: Previous and new contact information must be entered prior to submitting the notification. If the previous contact information is not obtainable, enter the new contact information for both previous and new in order to submit the application.

Withdrawal/Form 17

Select **Withdrawal/Form 17** to begin a new application. This application should be used when withdrawing from a foreign state. This is not an option to withdraw a previously submitted corporate amendment or expansion application.

The Application Information page shows all required information for the application change type.
The Withdrawal application is the only electronic application that does not allow for multiple state submissions. A drop-down menu is available for single-state selection. Unlike other corporate amendment applications, the submitted withdrawal application can be cloned similar to the electronic expansion application.

The Uniform Certificate of Authority Statement of Withdrawal Application should be used to file a complete surrender of the Certificate of Authority.

Required information is noted with an asterisk. This information must be completed in order to submit the withdrawal application.
Cloning a Submitted Withdrawal Application/Form 17

On the application selection page, click the clone button and a message box will display a list of submitted applications available to be cloned. Select a previously submitted Form 17/Withdrawal application in the menu.

A message box will appear, indicating which information will be cloned into a new Withdrawal application. A new tracking number will be assigned to the cloned Form 17. Select “cancel” if created in error, or select “OK” to continue.

Or you can select the clone icon for the appropriate withdrawal application located under the existing applications, when the message box appears, select OK to continue or cancel if selected in error.
NEW CORPORATE AMENDMENT

Select **Corporate Amendment** to begin a new application. The first screen to appear will be the Corporate Amendments Change Types. It is important to read the instructions prior to starting a corporate amendment application. The Corporate Amendment Change Types selection screen is only accessible once, and additional change types cannot be selected once the user has moved past this menu.

The user selects each change type applicable to the corporate amendment filing. This is the only time the user is allowed to select multiple change types. The selected corporate amendment change types will provide the required forms for completion. Remember to select each state(s) where the corporate amendment change should be submitted.

- Adding Lines of Business requires Form 1C, Form 2C, Form 3, Form 6, Form 7, Form 8C and Form 13, plus attachments.
- Deleting Lines of Business requires Form 1C, Form 2C, Form 3 and Form 8C, plus attachments.
- Name Change requires Form 1C, Form 2C, Form 6, Form 7 and Form 12, plus attachments.
- Redomestication of Foreign Insurer requires Form 1C, Form 2C, Form 6, Form 7 and Form 12, plus attachments.
- Change of Statutory Home Office Address requires Form 1C, Form 2C and Form 12, plus attachments.
- Merger of Two or More Foreign Insurers requires Form 1C, Form 2C, Form 6, Form 7, Form 11, Form 12 and Form 13, plus attachments.
- Change of Control of a Foreign Insurer requires Form 1C, Form 2C and Form 11, plus attachments.
- Amended Bylaws requires Form 1C and Form 2C, plus attachments.
- Amended Articles of Incorporation requires Form 1C and Form 2C, plus attachments.
A merger of two or more foreign insurers requires that the non-surviving insurer’s CoCode be entered. A redomestication filing requires that the new state of domicile be entered. This information will prepopulate into the application Form 2C.

Note: Change of Address/Contact Notification is not listed as a change type. This type of update cannot be combined with any other change type listed and will need to be attached as a separate notification. The Statement of Voluntary Dissolution is not part of the electronic application process. Domiciliary state application submissions must be completed in hardcopy. The uniform Affidavit of Lost Certificate of Authority, Form 15, may be completed and attached within the electronic application if the original Certificate of Authority cannot be located and returned to the Department of Insurance (DOI).

**Application Information**

The following forms may be completed in any order, but if it is completed in the order presented, then duplicate information will filter down in other sections of the application—i.e., officer names. All required forms must be completed to validate the application before submitting to the states selected on the Change States form. The **Change States** link is part of the hardcopy Form 2C. The electronic data entry pages are listed in accordance to the information presented on Form 2C, not by the form number. This screen only appears first when a new application is started. When exiting and re-entering the application, the user will be directed to the Main Menu screen first.

Click the **Continue** link to proceed to the Application Information screen. The change types selected generate this selection.

<table>
<thead>
<tr>
<th>Corporate Amendments Application Information</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Main Menu &gt;&gt; Application Information</strong></td>
</tr>
<tr>
<td><strong>UCAA Tracking Number</strong> : 98765-000</td>
</tr>
<tr>
<td><strong>Name of Insurer/Company Name</strong> : ABC Co</td>
</tr>
<tr>
<td><strong>NAIC Company Code</strong> : 12345</td>
</tr>
<tr>
<td><strong>FEIN</strong> : 23-1010101</td>
</tr>
</tbody>
</table>

Please click the following link to indicate the states where the Applicant Company is applying for a corporate change.

**Corporate Amendment Change States**

**Corporate Amendment Application Information**

Please click the following link to populate application information page (Form 2C).

**Corporate Amendment Application Information**

**Authorized Representative Information**

Please click the following link to supply the required information about the individual authorized to represent the Applicant Company before the Department.

**Authorized Representative**

**Applicant Company officers’ Certification and Attestation**

Please click the following link to complete the attestation for the application.

**Certification and Attestation**

**Uniform Consent to Service of Process Information**

Please click the following link to complete the Uniform Consent to Service of Process.

**Uniform Consent to Service of Process**
Uniform Consent to Service of Process, Form 12

The Uniform Consent to Service of Process (Form 12) is an example of the electronic pre-population feature. The company street address is completed. The president and secretary names also are pre-populated if the Applicant Officer’s Certification and Attestation data is completed first.

The State Requirements link is located in the center of Form 12. The State Requirements link is Exhibit A and should be reviewed for the state’s requirement prior to completing Exhibit B.
For those states that do not accept the Uniform Consent to Service of Process, a link is provided for the states’ requirement. Exhibit B in the electronic application will refer users to the state-specific information for those states that do not accept the Uniform Consent to Service of Process form.

The State Information tab on the UCAA website includes the State-Specific Requirements. To review the State-Specific Requirements, click on the drop-down box to select a specific state.

Note: If directed out of the UCAA portal, use the browser Back button to return to Exhibit B.
MAIN MENU

When accessing a non-submitted application, after the initial start of an application, the User will be directed to the main menu instead of directly to the Application Information screen.

**Edit Application Information**

The **Edit Application Information** link allows the user to edit all forms by navigating to the application information.

![Corporate Amendments Application Main Menu](image)

**View/Print/Download UCAA Forms**

This screen provides the option for printing the forms individually by selecting each form. The forms are printed in the required format. Printed forms may be mailed for hardcopy submissions, if desired or requested. To view a form, click on the form name link to view or print the read-only files.

![UCAA View/Print/Download Forms](image)
**Downloading an Application**

All or parts of the electronic application are available for download in a single zip file. The downloaded file will contain all UCAA submission forms and associated form attachments. Optionally, it also can contain any available general electronic attachments, and/or all email correspondence and associated email attachments.

To download the application, select **View/Print UCAA Forms** from the main menu.

On the following page, click **download the entire application in a single archive**.

The following page will appear specifying that all UCAA submission forms and form attachments will be downloaded. General electronic attachments and all email correspondence and associated email attachments also may be selected.

Once the options have been selected, click on **Download Application** to complete the process.

The zip file can be opened or saved to a file location and opened later.
Email

It is recommended to send and receive emails through the UCAA electronic application. To read or send emails, click the Email link on the main menu. To begin a new email, select Send An Email.

The UCAA email distribution list is located within the To: (Email Address) bar. Select the button to view all email addresses associated for the submission and domiciliary state(s). Select the desired email address, or type in a specific email address not listed in the Other Recipient window and the Add List button to populate the recipient list.

Complete the subject line and body of the email, and click the Send button. Clicking the Clear button will cause all fields (i.e., To: Subject and Email text) to clear.
Note: There is a limit to the amount of recipients that can be selected. This includes both the Defined UCAA Users and the Other Recipients. In addition, be sure to choose a recipient location before clicking the Add List button or else the addresses will not populate the recipient list. Click Return to return to the email.

To open and read an existing email, click on the subject line to open and read an email, or mouse over the subject line to preview the message content. The subject line should clearly state the purpose of the email; do not list only the company name. When applying to multiple states, other application states can view requests and responses quickly to determine if their request had already been asked and answered. This simple step can save time on the review process.
To reply or forward an email, select the **Reply** button located at the bottom of the email.

The Subject line will pre-populate with the original subject, and the original email message also will display below the subject line. There is an email size limit of 10 MB. To forward an email, follow the steps used to start a new email by selecting the distribution list.

Type the response, include an attachment if required, and click the **Send** button.
**Application Progress**

To follow the progress of the application, click the Application Progress link on the main menu. This lists all required information that must be completed. Completed forms will be marked with an X. All required forms must have an X before the application can be validated and submitted to the state(s).

### UCAA Corporate Amendment Application Progress

<table>
<thead>
<tr>
<th>UCAA Tracking Number</th>
<th>98765-000</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name of Insurer/Company Name</td>
<td>ABC Co</td>
</tr>
<tr>
<td>NAIC Company Code</td>
<td>12345</td>
</tr>
<tr>
<td>FEIN</td>
<td>23-1010101</td>
</tr>
</tbody>
</table>

X’s indicate completed portions of the application. All sections shown must be completed for the application to be submitted.

- Submission Statements (Form 13C)
- Preform Statement (Form 13C)
- Application Officer Certification of Attestation
- Uniform Consent To Service of Process (Form 12C)
- Authorized Representative
- Uniform Consent To Service of Process, Exhibit A
- Corporate Amendment Application Information

### Attach/View General Attachments

An alphabetical listing of required attachments is provided, along with a citation to the application instructions. Click the Attachment button to add an attachment.
The attachment window will open with a **Browse** button next to it. Either type in the file location, or use the **Browse** button to locate the directory and select the file to attach. All attached documents should have the attachment name/identifier in the header or footer.

Click the **Submit** button to attach the file. Close the window to return to the Electronic Attachments screen. Once an attachment is completed, a **Delete** button will appear next to the attachment. To delete an unwanted attachment, click the **Delete** button next to the attachment. The date and time the file was attached is provided as a reference for files that may be attached more than once if updated.

A warning message will appear when closing this window. Click **OK** to continue.

Note: When submitting hardcopies—such as filing fees and state-specific information (if required)—remember to reference the UCAA Electronic Corporate Amendment tracking number. The **Filing Fee** attachment button is provided to attach a copy of the check submitted to the state in hardcopy only. Currently, fees cannot be submitted electronically. Only items that have a specific attachment button labeled will check off automatically on the application checklist. Attachments for state-specific will only be checked as state-specific; that includes the certificates of compliance and certificates of deposit.
**Help**

The **Help** button is linked to the UCAA home page for reference to the corporate amendments instructions, state charts and state-specific requirements.

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**Logout**

Click the **Logout** link to exit the application. A warning window will not appear before exiting the application.

**ONLINE TIME-OUT LIMIT**

There is a 15-minute timeout limit built into the UCAA application. If the application sits idle for 15 minutes, it will log out automatically. When this occurs, log in with the user ID and password.
PROFORMA FINANCIAL STATEMENT

The proforma financial statement should be downloaded and completed for the appropriate business type. Complete the proforma that pertains to the statement type that is filed quarterly and annually with the NAIC—i.e., property proforma if the company files a property/casualty (P/C) financial statement. This form is generally completed by an actuary or financial administrator. When attaching the completed form, remember to keep the name of the form and its location to 30 characters or less.

The proforma financial workbook is password-protected. To begin using the Excel spreadsheet, macros must be enabled.

Cells with formulas embedded are locked. When copying financial data into the proforma, use “paste special,” and do not copy formulas. Similar to the annual statement, certain worksheets have thousands truncated; check the heading of each spreadsheet. Some states may require more than three years of financial projections. If needed, use two separate files. The year one should begin with the first year of projected written premium. The password cannot be provided. If issues occur, send your proforma worksheet to the contacts listed on the UCAA home page. The cells will be corrected and sent back to the user.
ELECTRONIC ATTACHMENTS

The attachments section is located at the bottom of the Application Information page. To attach documents, click the **Attach Files** link, and proceed to the Electronic Attachment screen to view the list of necessary attachments. The attached document should identify the document in either the header or footer. For example, when attaching a cover letter, the footer should state, “Cover Letter for ABC Company.”

The section and item numbers listed under each attachment name coincide with the section and item numbers listed in the corporate amendment instructions for each change type.

Note: When attaching a copy of the Certificate of Deposit or Certificate of Compliance, use the **State Specific Attachment** button. This will not check those items on the checklist (Form 1C). The domiciliary state must complete the certificates in order to check those items off the checklist.
The referenced sections are in order of the table of contents for each change type’s filing requirements.

COMPANY INFORMATION

The Company Information page is used for numerous applications, such as name change, statutory home office address, mergers and adding lines of business. Depending on the change type selected, it might not be necessary to answer or complete all lines on this screen, only applicable information. All required information is denoted with an asterisks “**” and must be completed.
To pre-populate address information for a change of city within the state of domicile or merger applications, click the **Previous Company Address Information**, **New Company Address Information** or **Surviving Insurer’s Addresses** links, and answer **Yes** when asked to populate all other previous addresses with the previous information.
FINALIZATION OF THE ELECTRONIC CORPORATE AMENDMENT APPLICATION

Once all required forms have been completed and all necessary attachments have been selected and attached, click the Finish Application link located on the main menu. A warning message will ask if the applicant is ready to submit the application.

If all required forms have not been completed thoroughly, the Application Progress screen will appear and display the list of required forms. Forms that meet the validation requirements will have an X indicating that the requirement is completed. If there is not an X next to the requirement, this indicates that portion of the application is incomplete. Forms will be highlighted and underscored, indicating a link is provided to the specific form page.
A corporate amendments application cannot be submitted to the state(s) until all the required forms are validated. The validation will check for dates in the correct date format and text and numerical information wherever text and numerical information is required.

Note: The UCAA Checklist Validation page will appear only if one or more of the required forms are incomplete.

If all required forms pass the validation process, a “Congratulations” message will appear indicating that the submission was successful. A reminder is included for filings fees and hardcopy requirements (if applicable).

Congratulations!

You have completed the electronic submission of your Uniform Certificate of Authority Application!

Please remember the submission states must receive your Filing Fees (if applicable) and Biographical Affidavits (if applicable) before your application will be considered complete.
A notification email will automatically generate informing all states that an electronic corporate amendment application has been submitted. The review process will begin when the states accept the electronic application. The states will contact the company via email for additional questions if necessary. All UCAA emails are stored within the corporate amendment application.

From the main menu, select Application Status to view the status of all states selected on the Change State form.
Application Status for Notification/Form 14

<table>
<thead>
<tr>
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<th>Date</th>
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<tr>
<th>Application Status for the state of Kansas</th>
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<td>Notification Acknowledged</td>
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<tr>
<th>Application Status for the state of Tennessee</th>
<th>Date</th>
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<tr>
<th>Application Status for the state of Texas</th>
<th>Date</th>
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<td>10/24/2012</td>
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Application Status for Form 12/Service of Process

<table>
<thead>
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<th>Date</th>
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<tr>
<td>Electronic Forms Submitted</td>
<td>03/10/2015</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Application Status for the state of Alabama</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Notification Acknowledged</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Application Status for the state of Missouri</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Notification Acknowledged</td>
<td>03/10/2015</td>
</tr>
</tbody>
</table>

The review process for a notification filing does not require an approval process. The date is entered when the notification is acknowledged by the submission state(s).
Note: If the submitted date is older than the status date; that is an indication that the original filing was amended.

Application Status for Statement of Withdrawal Application

<table>
<thead>
<tr>
<th>Application Status of Filing</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Electronic Forms Submitted</td>
<td>10/18/2012</td>
</tr>
</tbody>
</table>

Application Status for the state of Tennessee

<table>
<thead>
<tr>
<th>Application Status</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Received Hardcopy</td>
<td>10/12/2012</td>
</tr>
<tr>
<td>Application Accepted as Complete</td>
<td>10/13/2012</td>
</tr>
<tr>
<td>Application Processed</td>
<td></td>
</tr>
<tr>
<td>Application Closed</td>
<td>10/12/2012</td>
</tr>
</tbody>
</table>

Application Status for Corporate Amendments

<table>
<thead>
<tr>
<th>Application Status of Filing</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Electronic Forms Submitted</td>
<td>07/19/2011</td>
</tr>
<tr>
<td>Certificate of Compliance Completed by Texas</td>
<td></td>
</tr>
<tr>
<td>Certificate of Deposit Completed by Texas</td>
<td></td>
</tr>
</tbody>
</table>

Application Status for the state of Alabama

<table>
<thead>
<tr>
<th>Application Status</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Received Hardcopy</td>
<td></td>
</tr>
<tr>
<td>Application Accepted as Complete</td>
<td></td>
</tr>
<tr>
<td>Application Processed</td>
<td></td>
</tr>
<tr>
<td>Application Closed</td>
<td></td>
</tr>
</tbody>
</table>

The application status for a new corporate amendment will include a status for the certificate of compliance and certificate of deposit if required. When the domiciliary state completes the certificates electronically, the dates automatically update on the application status page and generate an email to the submission states and the insurer on this update. If a company uploads a copy of the certificates, the status dates will remain incomplete. The application status for a corporate amendment that does not require certifications or a new statement of withdrawal application will include: received hardcopy; application accepted as complete; application processed; or application closed.
The submission states will complete the following dates during their review process;

✓ **Received Hardcopy**
   The submission states will acknowledge receipt of filing fees and any hardcopies received (if applicable) with a date when received.

✓ **Accepted as Complete**
   The submission states will use this date once an initial review of the application has been made to determine if all necessary documentation has been received along with any hardcopy requirements. Once the state enters a date, the actual review process begins. The state then has 60 days to review the application and either approve or close the amendment.

✓ **Application Processed**
   The submission states will enter a date when the application has been approved.

✓ **Application Closed**
   The submission states will enter a date if the insurer has been asked to withdraw their application. Generally, this date will not be used since the corporate amendment application is basically a notification of a change.

### AMENDING CORPORATE AMENDMENT APPLICATIONS

Once submitted, applications cannot be deleted, however, if the application’s original submission date is less than two years, it may be amended on a subsequent menu. If the submission date is older than two years, the electronic application will display the following message:

![Message]

When a submission state asks the insurer to amend their application, the insurer selects the **Amend Application** link on the main menu.

#### Corporate Amendments Application Main Menu

<table>
<thead>
<tr>
<th>Application Selection</th>
<th>&gt;&gt;</th>
<th>Main Menu</th>
</tr>
</thead>
</table>

| UCAA Tracking Number  | :  | 98765-000 |
| Name of Insurer/Company Name | : | ABC Co |
| NAIC Company Code      | :  | 12345    |
| FEIN                   | :  | 23-1010101 |

Click the link to the left of the corresponding description.

- **View Application Information**: To allow the informational forms to be viewed.
- **View/Print UCIAA Forms**: To view or print the forms as submitted to regulators.
- **Email**: To send, view, or reply to an email regarding your application.
- **Application Status**: To check the status of your application with the filing states.
- **Attach/View General Attachments**: To attach or view general attachments that apply to the application as a whole.
- **Amend Application**: To amend the application.
- **Help**: To link to help files.
- **Logout**: To log out of the UCIAA system.
Provide an explanation for the amendment. If an amendment was created in error select cancel.

NOTE: If one state requires a state-specific change, providing that information via the UCAA email will not disrupt the review process of the other applicant states. **The text provided in the explanation box also will appear in the email notification to the state(s) that an amendment has been submitted.**

Select the **Continue** button to complete any changes. After the changes have been completed, return to the main menu and select **Finish**. At this time the tracking number will change to indicate that an amendment has been made.

**NOTE:** **Finish Application** must be selected to resubmit the application or the state(s) will not be able to access the application and the review process is delayed.