

UNIFORM CERTIFICATE OF AUTHORITY APPLICATION

Fingerprint, Biographical Affidavit and Third-Party Verification Reports Requirements

“√” Updates to the State Specific Information

State	Requirements For Licensure	Requirements After Licensure (Non-Domestic)
√Alabama	NAIC biographical affidavit and Third Party Verification. Credit Report not required for background report.	If requested a NAIC biographical affidavit is required for new officers, within 15 days of request.
√Alaska	NAIC Biographical Affidavit and Third Party Verification. Credit Report not Required for background report.	NAIC biographical affidavit is not required for new officers or directors.
√Arizona	<u>Primary:</u> NAIC Biographical Affidavit and Fingerprint Cards. Affidavit must be originally executed. Contact the Financial Affairs Divisions at: (602) 364-3999 to request fingerprint cards and instructions. Credit Report not Required for background report. <u>Expansion:</u> NAIC Biographical Affidavit and Third Party Verification. Credit Report not Required for background report.	NAIC biographical affidavit is not required for new officers or directors.
√Arkansas	NAIC Biographical Affidavit and Third Party Verifications. Credit Report not Required for background report.	NAIC biographical affidavit is not required for new officers or a director, assuming the domestic state is reviewing changes.
√California	Fingerprints and biographical affidavits, please contact California's Department of Insurance directly at (415) 538-4035 to request the necessary fingerprint cards and affidavit forms. Credit Report not Required for background report.	A state specific biographical affidavit is required for new officers or directors within a reasonable time. www.insurance.ca.gov

√Colorado	NAIC Biographical Affidavit and fingerprint cards for all domestic companies per 10-3-112 C.R.S. NAIC Biographical Affidavits and Third Party Verification reports for all foreign companies. Credit Report not Required for background report.	NAIC biographical affidavit is not required for new officers or directors.
√Connecticut	<u>Primary:</u> NAIC Biographical Affidavit and Independent Third Party Verification. Affidavit must be originally executed. Credit Reports are required with third party verification forms filed in connection with a new formation but not required for Primary applications. <u>Expansion:</u> NAIC Biographical Affidavit and Independent Third Party Verification. Credit Report not Required for background report.	A NAIC biographical affidavit is required for new officers/directors as soon as possible. An independent Third Party Verification is not required for changes to officers/directors after licensure.
√Delaware	NAIC Biographical Affidavit and Third Party Verification for Delaware domestic companies. A full credit report is required with the background report for a primary application.	A NAIC biographical affidavit is required for new officers or directors listed on the NAIC Jurat page of the annual statement within a reasonable time frame.
√District of Columbia	NAIC Biographical Affidavit and Independent Third Party Verification. Credit Report not Required for background report.	Contact state for requirements.
√Florida	NAIC Biographical Affidavit, Third Party Verification and Fingerprint Cards. Please contact the Office of Insurance Regulation at (850) 413-2575 to request the necessary fingerprint cards or E-mail appcoord@fldfs.com Florida no longer requires credit reports with the background investigations.	A NAIC biographical affidavit is required for new key officers.
Georgia	NAIC Biographical Affidavit and Independent Third Party Verification. Contact state for credit report requirement.	Contact state for requirements.

√Hawaii	NAIC Biographical Affidavit and Independent Third Party Verification Sally D. Bautista — Phone #: (808) 586-7414 Credit Report not Required for background report.	NAIC biographical affidavit is required for new officers when filing for Mergers and Acquisitions only.
√Idaho	NAIC Biographical Affidavit and Third Party Verification Credit Report not Required for background report.	NAIC biographical affidavit is not required for new officers or directors.
√Illinois	NAIC Biographical Affidavit Credit Report not Required for background report.	Contact state for requirements.
√Indiana	NAIC Biographical Affidavit and Independent Third Party Verification. Credit Report not Required for background report.	NAIC biographical affidavit is not required for new officers or directors.
√Iowa	NAIC Biographical Affidavit and Independent Third Party Verification. Credit Report not Required for background report.	NAIC biographical affidavit is not required for new officers or directors.
√Kansas	NAIC Biographical Affidavit certified by an Independent Third Party. Credit Report not Required for background report.	NAIC biographical affidavit is required for new President or Secretary.
Kentucky	NAIC Biographical Affidavit and Third Party Verifications. Contact state for credit report requirement.	NAIC biographical affidavit is required for new President's only, within 30 days.
√Louisiana	NAIC Biographical Affidavits, Investigative Reports and Fingerprint Cards. Credit Report not Required for background report.	Contact state for requirements.
√Maine	NAIC Biographical Affidavit and Independent Third Party Verification. Credit Report not Required for background report.	NAIC biographical affidavit is not required for new officers or directors.
√Maryland	NAIC Biographical Affidavit certified by Independent Third Party Verification. Credit Report not Required for background report.	NAIC biographical affidavit is required for new officers or directors.
√Massachusetts	NAIC Biographical Affidavit. Credit Report not Required for background reports for Expansion or Corporate Amendment applications but is required for the Primary application.	NAIC biographical affidavit is not required for new officers or directors.

√Michigan	<p>Primary: NAIC Biographical Affidavit and fingerprint cards. Please contact the Office of Financial and Insurance Regulation - at (517) 335-2062 to request the necessary fingerprint cards.</p> <p>Credit Report not Required for background report.</p> <p>Expansion: The state of Michigan requires NAIC Biographical Affidavits and Third Party Verifications.</p> <p>Credit Report not Required for background report.</p>	NAIC biographical affidavit is not required for new officers.
√Minnesota	<p>NAIC Biographical Affidavit and Independent Third Party Verifications are required for Primary and Expansion Applications. Signatures must be original.</p> <p>Credit Report not Required for background report.</p>	NAIC biographical affidavit is not required for new officers or directors.
Mississippi	<p>NAIC Biographical Affidavit</p> <p>Contact state for credit report requirement.</p>	Contact state for requirements.
√Missouri	<p>NAIC Biographical Affidavit and Independent Third Party Verification.</p> <p>Credit Report not Required for background report.</p>	Contact state for requirements.
√Montana	<p>NAIC Biographical Affidavit and Independent Third Party Verification.</p> <p>Credit Report not Required for background report.</p>	NAIC biographical affidavit is not required for new officers or directors.
√Nebraska	<p>NAIC Biographical Affidavit and Independent Third Party Verification.</p> <p>Credit Report not Required for background report.</p>	NAIC biographical affidavit is not required for new officers or directors.
√Nevada	<p>NAIC Biographical Affidavit</p> <p>Do Not Submit Independent Third Party Verification, Fingerprint Card, or Credit Report.</p>	A letter is required indicating new officers within 90 days.
New Hampshire	<p>NAIC Biographical Affidavit</p> <p>Contact state for credit report requirement.</p>	NAIC biographical affidavit is not required for new officers or directors.

√New Jersey	<p>Primary: New Jersey has a state specific biographical affidavit form and will require a criminal history record check by the New Jersey State Police. The biographical affidavit form is available on the department's web site. However, the criminal history record check is a yellow form from the State Police and must be supplied by the New Jersey Department of Banking and Insurance. Credit Report not Required for background report.</p> <p>Expansion: NAIC Biographical Affidavit. Credit Report not Required for background report.</p>	Contact state for requirements.
√New Mexico	NAIC Biographical Affidavit and Independent Third Party Verification Credit Report not Required for background report.	NAIC biographical affidavit is required for new officers, as soon as possible.
New York	NAIC Biographical Affidavit and Fingerprint Cards Contact state for credit report requirement.	Contact state for requirements.
√North Carolina	NAIC Biographical Affidavit Credit Report not Required for background report.	NAIC biographical affidavit is not required for new officers or directors.
√North Dakota	NAIC Biographical Affidavit and Independent Third Party Verification. Credit Report not Required for background report.	NAIC biographical affidavit is not required for new officers or directors.
√Ohio	Ohio does require independent third party verifications from the Ohio list at http://ohioinsurance.gov/Company/BIO_ThirdParty.htm Credit Report not Required for background report.	NAIC biographical affidavit is not required for new officers or directors.
√Oklahoma	NAIC Biographical Affidavit and Independent Third Party Verification. Credit Report not Required for background report.	NAIC biographical affidavit is not required for new officers or directors.
√Oregon	Biographical affidavit for all officers and directors of the company as listed on the jurat page of the filed statement. Credit Report not Required for background report.	NAIC biographical affidavit is not required for new officers or directors.
√Pennsylvania	Pennsylvania requests verification of primary application biographical affidavits, we do not require 3 rd party	Contact state for requirements.

	verification of foreign applicants. Credit Report not Required for background report.	
√Rhode Island	Rhode Island will no longer require the Independent Third Party Verifications. Rhode Island will only require the NAIC Biographical Affidavit. Credit Report not Required for background report.	A NAIC biographical affidavit is required for new officers and directors within a reasonable time frame.
√South Carolina	NAIC Biographical Affidavit and Independent Third Party Verification. Credit Report not Required for background report.	NAIC biographical affidavit is not required for new officers or directors.
South Dakota	DO NOT SUBMIT Biographical Affidavits or employee organizational charts for foreign insurance companies. They are not required of foreign companies at any time.	NAIC biographical affidavit is not required for new officers or directors.
√Tennessee	NAIC Biographical Affidavit. Credit Report not Required for background report.	A NAIC biographical affidavit, with original signatures and notarization is required within 90 days for new officers or directors.
√Texas	Submit biographical information pursuant to UCAA instructions and requirements. Submit fingerprint cards for each biographical affidavit that is submitted with the application. For fingerprint card information, please see http://www.tdi.state.tx.us/bulletins/2006/cc26.html Texas strongly recommends submitting digital fingerprint cards, as the cards are accurate and processing time is much faster. Ink print cards require longer processing times and are very susceptible to inaccuracies that may require multiple submissions. Credit Report not Required for background report.	NAIC biographical affidavit and fingerprint card are required for new key officers within 30 days.
√Utah	NAIC Biographical Affidavit and Independent Third Party Verification. Full credit report required with background report.	A letter is required listing changes for removals if removed for a cause.
√Vermont	NAIC Biographical Affidavit Credit Report not Required for background report.	NAIC biographical affidavit is not required for new officers or directors.
√Virginia	NAIC biographical affidavit and Third Party Verification. Credit Report not Required for background report.	NAIC biographical affidavit is not required for new officers or directors.
√Washington	NAIC Biographical Affidavit and Third Party Verification	NAIC biographical affidavit is not required for new officers or

	Credit Report not Required for background report.	directors.
√West Virginia	NAIC Biographical Affidavit Summary Credit Report required for Primary Application. Credit Report not Required for expansion or corporate application.	NAIC biographical affidavit is not required for new officers or directors.
√Wisconsin	NAIC Biographical Affidavit. Credit Report not Required for background report.	NAIC biographical affidavit is not required for new officers, please notify changes in writing.
√Wyoming	NAIC Biographical Affidavit and Independent Third Party Verification. Credit Report for Primary Applications. No credit report required for expansion or corporate amendment applications.	NAIC biographical affidavit is required for new president, only within 90 days.