Uniform Certificate of Authority Application (UCAA)
Expansion Application

To the Insurance Commissioner/Director/Superintendent of the State of:

(Check the appropriate states in which the Applicant Company is applying.)

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<thead>
<tr>
<th>Alabama</th>
<th>Montana</th>
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The undersigned Applicant Company hereby certifies that the classes of insurance as indicated on the Lines of Insurance, Form 3, are all lines of business (a) currently authorized for transaction, (b) currently transacted, and (c) which the Applicant Company is applying to transact.

Name of Applicant Company: _________________________ NAIC No.: _______________________ -- ______________ Group Code

Home Office Address:  ________________________________________________________________________________

Administrative Office Address:  _________________________________________________________________________

Mailing Address:  ____________________________________________________________________________________

Phone: ____________________________________  Fax: ___________________________________________

Are these addresses the same as those shown on the Applicant Company’s Annual Statement?

Yes [ ]  No [ ]

If not, indicate why: ___________________________________________________________________________
Applicant Company Name: _____________________________   NAIC No. __________________________
FEIN: __________________________

Date Incorporated: ________________ Form of Organization: ___________________________________________________
Billing Address: _______________________________________________________________________________________
E-Mail Address: ______________________ Phone: _________________________ Fax: _________________________________

Premium Tax Statement Address: __________________________________________________________________________
E-Mail Address: ______________________ Phone: _________________________ Fax: _________________________________
Producer Licensing Address: ______________________________________________________________________________
E-Mail Address: ______________________ Phone: _________________________ Fax: _________________________________
Rate/Form Filing Address: _______________________________________________________________________________
E-Mail Address: ______________________ Phone: _________________________ Fax: _________________________________
Consumer Affairs Address: _______________________________________________________________________________
E-Mail Address: ______________________ Phone: _________________________ Fax: _________________________________
State or Country of Domicile: ________________________________  Date Organized: ______________________________
Date of Last Amendment of Charter, Bylaws or Subscriber's Agreement: _________________________________________
Date of Last Financial Examination: ______________________________________________________________________
Date of Last Market Conduct Examination: __________________________________________________________________
Par Value of Issued Stock: $ ___________________ Surplus as regards policyholders: $ ______________________________
Certificate of Deposit (Home State): $ ______________________________________________________________________
Ultimate Owner/Holding Company: ________________________________________________________________________

Has the Applicant Company ever been refused admission to this or any other state prior to the date of this application?

Yes ☐ No ☐
If yes, give full explanation in an attached letter.

Is Applicant Company a member of a group that is required to file an Own Risk Solvency Assessment (ORSA) report with your lead state?

Yes ☐ No ☐

Is the Applicant Company required to file an ORSA report with its lead state?

Yes ☐ No ☐
If yes to either ORSA question, please provide:
Lead State: __________________ Lead State Contact Name: __________________________________________________
E-mail Address ___________________________________ Phone: _______________________________________________

The Applicant Company hereby designates (name natural persons only) ___________________________________ to appoint
persons and entities to act as and to be licensed as agents in the State of ______________________________, and to terminate the said appointments.

NOTE: This does not apply to those states that do not require appointments.
The following information is required of the individual (Applicant Company employee or paid consultant) who is authorized to represent the Applicant Company before the department.

Name: ________________________________________________________________________________________________
Title: ________________________________________________________________________________________________
Mailing Address: ________________________________________________________________________________________
E-Mail Address: ____________________________ Phone: _______________________ Fax: _________________________

Please provide a listing of all other applications filed by the Applicant Company, or any of its affiliates, that are pending before the Department.

_____________________________________________________________________________________________________
_____________________________________________________________________________________________________

**Applicant Company Officers’ Certification and Attestation**

One of the three officers (listed below) of the Applicant Company must carefully read the following:

1. I hereby certify, under penalty of perjury, that I have read the application, that I am familiar with its contents, and that all of the information, including the attachments, submitted in this application is true and complete. I am aware that submitting false information or omitting pertinent or material information in connection with this application is grounds for license discipline or other administrative action and may subject me or the Applicant Company, or both, to civil or criminal penalties.

2. I acknowledge that I am familiar with the insurance laws and regulations of said state, accept the Constitution of such state, in which the Applicant Company is licensed or to which the Applicant Company is applying for licensure.

3. I acknowledge that I am the ___________________ ____of the Applicant Company, am authorized to execute and am executing this document on behalf of the Applicant Company.

4. I hereby certify under penalty of perjury under the laws of the applicable jurisdictions that all of the forgoing is true and correct, executed at ___________________________________.

__________________________________
Date

_________________________  __________________________________
Full Legal Name of President  Signature of President

__________________________________
Date

_________________________  __________________________________
Full Legal Name of Secretary  Signature of Secretary

__________________________________
Date

_________________________  __________________________________
Full Legal Name of Treasurer  Signature of Treasurer

_________________________  __________________________________
Name of Applicant Company  Signature of Witness

_________________________  __________________________________
Date  Full Legal Name of Witness