UCAA Expansion Application
Insurer User Guide

December 2017
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UCAA EXPANSION APPLICATION – OVERVIEW

The electronic format for the Uniform Certificate of Authority Expansion Application (UCAA) is a web-based system with three participants: 1) insurance company, 2) state of domicile, and 3) expansion state(s). Insurance companies access the electronic application via a specific Internet address or Uniform Resource Locator (URL).

Insurance companies are provided with an electronic checklist of requirements. The UCAA Expansion Application is customized to present the required information for each state involved in the filing. An “X” appears in the “Completed” column of the electronic checklist as each item on the list is satisfied. The application checklist also includes a list of required attachments; attachments are listed as completed online or as hardcopy submission. Those completed online will show as completed when the document is attached. When submitting hardcopy attachments, print the application checklist and submit with hardcopy requirements, such as filing fees. When the expansion application is submitted, a notification is sent to the state of domicile indicating that an application has been completed and requires certifications.

When the state of domicile completes the Certificate of Deposit (Form 6) and Certificate of Compliance (Form 7), a notification is automatically sent to the Applicant Company and to the expansion state(s) specified on the application that the certifications have been completed.

The expansion state should acknowledge receipt of the filing and accept it for completeness. The expansion state will review and analyze the filing. The request for licensure will then be accepted or closed. A notification of the final status of the filing will be sent automatically once a determination is made.
COMPANY LOGIN

An insurance company accesses the electronic UCAA Expansion Application by using the following Internet address:

www.naic.org/industry_ucaa.htm

The UCAA link is located at the bottom of the www.naic.org Web page. The UCAA home page includes several links with instructions for the Electronic Application, Primary Application, Expansion Application and Corporate Amendments Application, as well as the State Retaliatory Information and Frequently Asked Questions (FAQ). Insurance companies click on the Electronic Application link on the UCAA login screen link to display the UCAA electronic login page.

Additionally, an insurance company can go directly to the electronic application by using the following Internet address:

https://ucaa.naic.org/login.html
(Notice the absence of the “www”)

To request a login ID and password, first determine the user roles to be requested by clicking on UCAA Functionality by Role. After determining which roles the user will require, click the “request form” link. The UCAA ID and Password form will be displayed.
A user can have one or multiple roles and multiple NAIC CoCodes assigned to his or her ID. To deactivate a user ID or request additional NAIC CoCodes, notify the NAIC Help Desk at help@naic.org.

### Company Interface Roles

<table>
<thead>
<tr>
<th>Role</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, Award Existing UCAA Application</td>
</tr>
</tbody>
</table>

### Industry (Company) side

<table>
<thead>
<tr>
<th>Function</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Checklist Functionality</td>
<td>Access all E forms, Either Edit or View, Perform &amp; attachments from checklist (Minimum Paid in Capital &amp; Surplus requirements, Name Approval, Narrative, Holding Company Form B Registration Statement, Statutory Membership, Business Character Reports)</td>
</tr>
<tr>
<td>Start New UCAA Application</td>
<td>Ability to create (edit) a filing before submission (pressing finish button). Includes all checklist 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 checklist functionality.</td>
</tr>
<tr>
<td>View Existing UCAA Application</td>
<td>Ability to view the current version of a submitted filing, no edit capabilities. Checklist functionality will include access to all E forms in view mode as well as the ability to download/print all E forms. Status of the filing will also be accessible.</td>
</tr>
<tr>
<td>Amend Existing UCAA Application</td>
<td>Ability to create a new version of a submitted filing (Amend). This implies edit capabilities as well as the ability to select (finish button) a filing which has already been previously submitted. Includes all checklist functionality.</td>
</tr>
</tbody>
</table>

To request a UCAA ID and password complete the UCAA ID and Password form, choose a valid UCAA role, and click Submit. Only one CoCode can be associated to the requested ID. To associate additional CoCodes to an ID, contact help@naic.org. User IDs should never be shared.
User role information is available on both the Insurance Industry Access page and the UCAA Expansion Request Login page.

At the login page, enter the user ID and password, and click the **Login** button.
A login verification screen opens with the user information. 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. Verify that the email address is correct. This is the email address used for all notifications and email correspondence with the applicant state.

To start an expansion application, select an NAIC company code, and click the **Proceed** button. Multiple company codes can be associated with one UCAA login.

**New Expansion Application**

- Click **Expansion Application** button to automatically start a new expansion application.
**UCAA Tracking Number** – The three zeros that follow the dash in the tracking number represent the filing revision number. The original version of the filing ends in “000.” When a revision is submitted, the tracking number for that filing will end with “001” for the first revision and “002” for the second revision and so forth. The numbering sequence continues with each revision.

**Continue or Update an Existing UCAA Application:**

Select the existing application of choice from the list below and click the tracking number link. Non-submitted applications are works in progress and have not yet been submitted for regulator review. Submitted applications are currently being reviewed by regulators. Once submitted, applications cannot be deleted; however they may be amended on a subsequent menu once the application is selected.

Non-submitted applications may be deleted by clicking the trash can icon for that application.

**Application Information Page**

To use the pre-population function, start with the first link **Authorized/Expansion States** provided, and work down to the last link. All duplicate information will populate into the forms.

Once the application is completed, select the **Finish Application** link on the main menu to complete/submit the application. If all the requirements of the application are not complete, the user will automatically be directed to the **Application Progress** link to see what section is still incomplete. An incomplete application will not validate the application for submission.

**Application Information**

<table>
<thead>
<tr>
<th>Application Type</th>
<th>Tracking Number</th>
<th>Status</th>
<th>Change Type</th>
<th>Last Accessed</th>
<th>Clone</th>
<th>Delete</th>
</tr>
</thead>
<tbody>
<tr>
<td>Expansion Application</td>
<td>20793-002</td>
<td>Submitted, domiciliary</td>
<td>12/07/2017</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>state processing</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Expansion Application</td>
<td>20607-000</td>
<td>Non-submitted</td>
<td>10/30/2017</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Expansion Application</td>
<td>20609-000</td>
<td>Non-submitted</td>
<td>10/09/2017</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
**Authorized/Expansion States**

The **Authorized/Expansion States** screen allows the user to select each state in which an expansion is requested. The Select All button enables all states to be selected if expanding to multiple states. The user also has the option to unselect the states that do not apply. The domiciliary state is always selected as an authorized state by default.

For each applicable state, please select either Authorized or Expansion. The UCAA application can only be used for Expansion into those states where the Applicant Company is not currently Authorized to do business. As such, selecting the Expansion option will automatically deselect the Authorized option, and vice versa. (Please note, the state of domicile will always be selected in the UCAA Electronic application as an Authorized state.)

Please check the appropriate application states.

<table>
<thead>
<tr>
<th>Authorized</th>
<th>State</th>
<th>Authorized</th>
<th>State</th>
<th>Authorized</th>
<th>State</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Alabama</td>
<td></td>
<td>Louisiana</td>
<td></td>
<td>Ohio</td>
</tr>
<tr>
<td></td>
<td>Alaska</td>
<td></td>
<td>Maine</td>
<td></td>
<td>Oklahoma</td>
</tr>
<tr>
<td></td>
<td>Arizona</td>
<td></td>
<td>Maryland</td>
<td></td>
<td>Oregon</td>
</tr>
<tr>
<td></td>
<td>Arkansas</td>
<td></td>
<td>Massachusetts</td>
<td></td>
<td>Pennsylvania</td>
</tr>
<tr>
<td></td>
<td>California</td>
<td></td>
<td>Michigan</td>
<td></td>
<td>Puerto Rico</td>
</tr>
<tr>
<td></td>
<td>Colorado</td>
<td></td>
<td>Minnesota</td>
<td></td>
<td>Rhode Island</td>
</tr>
<tr>
<td></td>
<td>Connecticut</td>
<td></td>
<td>Mississippi</td>
<td></td>
<td>South Carolina</td>
</tr>
<tr>
<td></td>
<td>Delaware</td>
<td></td>
<td>Missouri</td>
<td></td>
<td>South Dakota</td>
</tr>
<tr>
<td></td>
<td>District Of Columbia</td>
<td></td>
<td>Montana</td>
<td></td>
<td>Tennessee</td>
</tr>
<tr>
<td></td>
<td>Florida</td>
<td></td>
<td>Nebraska</td>
<td></td>
<td>Texas</td>
</tr>
<tr>
<td></td>
<td>Georgia</td>
<td></td>
<td>Nevada</td>
<td></td>
<td>Utah</td>
</tr>
<tr>
<td></td>
<td>Hawaii</td>
<td></td>
<td>New Hampshire</td>
<td></td>
<td>Vermont</td>
</tr>
<tr>
<td></td>
<td>Idaho</td>
<td></td>
<td>New Jersey</td>
<td></td>
<td>Virginia</td>
</tr>
<tr>
<td></td>
<td>Illinois</td>
<td></td>
<td>New Mexico</td>
<td></td>
<td>Washington</td>
</tr>
<tr>
<td></td>
<td>Indiana</td>
<td></td>
<td>New York</td>
<td></td>
<td>West Virginia</td>
</tr>
<tr>
<td></td>
<td>Iowa</td>
<td></td>
<td>North Carolina</td>
<td></td>
<td>Wisconsin</td>
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<tr>
<td></td>
<td>Kansas</td>
<td></td>
<td>North Dakota</td>
<td></td>
<td>Wyoming</td>
</tr>
<tr>
<td></td>
<td>Kentucky</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

* State of Domicile

Click in the **Authorized** column to indicate the appropriate states where the applicant is currently authorized to transact business and is currently transacting business. The states selected should be similar to the financial filing of Schedule T.

A user cannot select both Authorized and Expansion. All authorized states must be selected.

After selecting the states, click the **Application Information** link to go back to the previous page.

Note: If the domiciliary state has changed, notify the NAIC by contacting fdrccreq@naic.org.
Line of Business Information

Identify the lines of business that the company is presently transacting or authorized to transact and the lines of business in which the Application Company is applying for in the expansion state(s). Each state link under expansion or authorized must be completed. If not completed, Form 3 will not validate, and the application cannot be submitted. This application is not intended for adding additional lines to an authorized state’s certificate of authority. Refer to the Corporate Amendment Instructions – Adding a Line of Business.

Authorized States

- Click the states listed under **Authorized States** on the left.
- Place a checkmark in the columns **Authorized to Transact** and **Currently Transacting** for the lines of business where the company is currently authorized.
- Click the **Application Information** to go back to the previous page.
State Lines of Business Matrix

The Lines of Business Matrix is located under State Charts on the UCAA web page. Refer to this matrix to match the statutory line with the financial statement line of business if the Applicant Company is unsure which line of business to apply for on Form 3.

<table>
<thead>
<tr>
<th>TENNESSEE</th>
<th>P &amp; C Exhibit of Premiums and Losses</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Fire</td>
<td>Property (TCA 56-2-201) (a) and (b)</td>
</tr>
<tr>
<td>2.1 Allied Lines</td>
<td>Property (TCA 56-2-201) (a) and (b)</td>
</tr>
<tr>
<td>2.2 Multiple Peril Crop</td>
<td>Property (TCA 56-2-201) (a) and (b)</td>
</tr>
<tr>
<td>2.3 Federal Flood</td>
<td>Property (TCA 56-2-201) (a) and (b)</td>
</tr>
<tr>
<td>3. Farmers multiple peril</td>
<td>Property (TCA 56-2-201) (a) and (b)</td>
</tr>
<tr>
<td>4. Homeowners Multiple Peril</td>
<td>Property (TCA 56-2-201) (a) and (b)</td>
</tr>
<tr>
<td>5.1 Commercial multiple peril (non-liability portion)</td>
<td>Property (TCA 56-2-201) (a) and (b)</td>
</tr>
<tr>
<td>5.2 Commercial multiple peril (liability portion)</td>
<td>Property (TCA 56-2-201) (a) and (b)</td>
</tr>
<tr>
<td>6. Mortgage guaranty</td>
<td>Surety (TCA 56-2-201) (e)</td>
</tr>
<tr>
<td>8. Ocean marine</td>
<td>Property (TCA 56-2-201) (a) and (b)</td>
</tr>
<tr>
<td>9. Inland marine</td>
<td>Property (TCA 56-2-201) (a) and (b)</td>
</tr>
<tr>
<td>10. Financial guaranty</td>
<td>Casualty (TCA 56-2-201) (a) and (d)</td>
</tr>
<tr>
<td>11. Medical malpractice</td>
<td>Casualty (TCA 56-2-201) (a) and (d)</td>
</tr>
<tr>
<td>12. Earthquake</td>
<td>Property (TCA 56-2-201) (a) and (b)</td>
</tr>
<tr>
<td>13. Group accident and health</td>
<td>Accident and Health (a) (TCA 56-2-201)</td>
</tr>
<tr>
<td>14. Credit A &amp; H (Group and Individual)</td>
<td>Accident and Health (a) (TCA 56-2-201)</td>
</tr>
<tr>
<td>15.1 Collectively renewable A &amp; H</td>
<td>Accident and Health (a) (TCA 56-2-201)</td>
</tr>
<tr>
<td>15.2 Non-cancelable A &amp; H</td>
<td>Accident and Health (a) (TCA 56-2-201)</td>
</tr>
<tr>
<td>15.3 Guaranteed renewable A &amp; H</td>
<td>Accident and Health (a) (TCA 56-2-201)</td>
</tr>
<tr>
<td>15.4 Non-renewable for states reasons only</td>
<td>Accident and Health (a) (TCA 56-2-201)</td>
</tr>
<tr>
<td>15.5 Other accident only</td>
<td>Accident and Health (a) (TCA 56-2-201)</td>
</tr>
<tr>
<td>15.6 Medicare Title XVIII exempt from state taxes or fees</td>
<td>Accident and Health (a) (TCA 56-2-201)</td>
</tr>
<tr>
<td>15.7 All other A &amp; H</td>
<td>Accident and Health (a) (TCA 56-2-201)</td>
</tr>
<tr>
<td>16. Workers’ compensation</td>
<td>Casualty (TCA 56-2-201) (a) and (d)</td>
</tr>
<tr>
<td>17.1 Other liability</td>
<td>Casualty (TCA 56-2-201) (a) and (d)</td>
</tr>
<tr>
<td>17.3 Excess Workers’ Compensation</td>
<td>Casualty (TCA 56-2-201) (a) and (d)</td>
</tr>
<tr>
<td>18. Products liability</td>
<td>Casualty (TCA 56-2-201) (a) and (d)</td>
</tr>
<tr>
<td>19.1 Private passenger auto no-fault (personal injury protection)</td>
<td>Casualty (TCA 56-2-201) (a) and (d); TCA 56-2-201 (7)(A)</td>
</tr>
<tr>
<td>19.2 Other private passenger auto liability</td>
<td>Casualty (TCA 56-2-201) (a) and (d); TCA 56-2-201 (7)(A)</td>
</tr>
<tr>
<td>19.3 Commercial auto no-fault (personal injury protection)</td>
<td>Casualty (TCA 56-2-201) (a) and (d); TCA 56-2-201 (7)(A)</td>
</tr>
<tr>
<td>19.4 Other commercial auto liability</td>
<td>Casualty (TCA 56-2-201) (a) and (d); TCA 56-2-201 (7)(A)</td>
</tr>
<tr>
<td>21. Auto physical damage</td>
<td>Casualty (TCA 56-2-201) (a) and (d); TCA 56-2-201 (7)(A)</td>
</tr>
<tr>
<td>22. Aircraft (all perils)</td>
<td>Property and Casualty (TCA 56-2-201)(separate lines) (a),(b),(d)</td>
</tr>
</tbody>
</table>

To search for a specific state:
- **CTRL F** – Keyboard shortcut for Find.
- Type in the state name.
- Click the **Find Next** button.

To save the business matrix:
- Go to the **Menu Bar**.
- Click **File**, **Save As**.
- Choose a location.
- Click **Save**.

To close the business matrix:
- Click on the back button on the toolbar.
Company Address Information

The company address information lists all the addresses associated with the insurer. The user can populate all the addresses with the home address information by clicking the Yes radio button at the top of the page. To navigate to the other addresses, click the menu choices on the left, or use the Next Address link below. The user can change any address information by clicking on the menu on the left or the Next Address link on the bottom.

Match Annual Statement

If the address matches the company’s annual statement, click the Yes radio button. If No is selected, an explanation must be entered in the text box to validate this section of Form 2C and proceed with the application. The explanation text box is limited to 650 characters. An indicator box is provided to track the text characters.

After completing the company address information, click the Application Information link to go to the previous page.
General Company Information

This form contains information about the general business history of the company. Fields that require a date must follow the example format to the right of the field (e.g., mm/dd/yyyy). The fields that require currency information need to contain a total value.

After completing the general company information, click the Application Information link to go to the previous page.

Note: Items identified with an asterisk must be completed. To move from the General Company Information page without completing all required information, use the browser back button.
Authorized Representative

The following information is required of the individual who is authorized to represent the Applicant Company before the Department of Insurance (DOI). If the Applicant Company does not employ the representative, please complete the Additional Company Contact form to identify a company representative to facilitate detailed financial information requests. Select an address link from the menu on the left, or use the Additional Company Contact link at the bottom of the page to navigate through the representative addresses individually.
Questionnaire

The questionnaire displays each question one at a time. Click the links to the left of the page to navigate to the next question, or click the Next link on the bottom of the page to proceed to the next question. Click the Application Information link to return to the Application Information page.

Directions: All questions should be answered either Yes or No. Short explanations (five rows or less; 650 characters or less) may be entered directly into the text boxes provided. If a longer explanation is required, use an electronic attachment. Click the attachment button provided under the appropriate question, and identify the document to be attached. The attached document also should provide an identifier in the header or footer of the attachment indicating the question number the response is provided for (i.e., Q2A). Once a question has been answered completely, the question number font will change in the left-hand side to denote which question requires a response before the form will validate.

If an applicant denotes a question as Not Applicable, an explanation must be provided. For some questions, if an applicant denotes a question as Yes, further details may be required.
Uniform Consent to Service of Process

For some states, notification of a lawsuit against a company doing business in that state must first be sent to the insurance commissioner (notification only) and then forwarded to the company that is being sued. In some cases, the insurance department requires that the commissioner AND an appointed agent in that state receive notification. In either case, the notification is forwarded to the company. This form lists key names and contact information for the insurer and each state where the company is authorized to do business.

Exhibit A of the Uniform Consent to Service of Process

The Exhibit A/State Requirements link is located in the center of Form 12.
All states selected on the Change States screen are automatically checked on Exhibit A, and the forwarding address or resident agent information for these states must be completed on Exhibit B.

Exhibit B of the Uniform Consent to Service of Process

Exhibit B is a link within this information page. Select an expansion state name from the menu on the left or use the Next Address link at the bottom of the page to navigate through the state addresses individually. Select the Consent to Process (Previous Page) link at the bottom of the page to return to Exhibit B.

Helpful hint: When the user completes the forwarding address information for the first state listed, that forwarding address information will prepopulate to the other remaining expansion states that require a forwarding address. All resident agent information must be entered for each state that requires a resident agent.
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.

Applicant Officers’ Certification and Attestation

This form identifies the person completing the application and the executed date for the document.
Type in the position held that is authorized to execute this document on behalf of the applicant and the location in which the document was executed. Then click the Officer Legal Names and Signatures link.

The insurer is then prompted to enter the president, secretary, treasurer and witness information. One of the three officers listed and the witness must complete the Officer Certification and Attestation.

Helpful hint: The person completing the application on behalf of the company may want to keep a signed copy of the Certification and Attestation for his or her records as assurance that the officer of the company is knowledgeable of the application being submitted. Only those officers listed can sign the document.

Pro Forma Financial Statements

The insurer must first download the UCAA proforma by clicking the UCAA Pro Forma Financial Statements link. The pro forma must be the same business type as the company’s financial statement filings. A Microsoft message appears alerting the users to macros in the Microsoft Excel file.

Click on “Enable Content” to accept the macros.
After the form opens, follow the instructions on the worksheet. Type the company name and year in the spaces provided. Check the boxes to choose the states to be completed. Then, beneath the instructions, click the **Create Selected State Worksheets** button. The formula cells in the workbook are protected, and passwords are not provided. When copying financial data into the worksheet, use the **Paste Special** command.

To save the worksheet:
- Close the browser window.
- The user will be prompted to save the file.
- Click **Yes** to save the changes and the file.
Choose the location to save the file and click **Save**.

To attach the completed Pro Forma Financial Statement:
- Click the **Browse** button.
- Click the file to attach.
- Click **Open**.
- Click **Submit**.
- Click **Close**.
- Click the **Application Information** link to go back to the Application Information page.
Biographical Affidavit

The most current form of the Biographical Affidavit must be used and is available for download from the Expansion Application tab on the NAIC/UCAA website. Older versions of the same form are not acceptable.

<table>
<thead>
<tr>
<th>State Information</th>
<th>Primary App</th>
<th>Expansion App</th>
<th>Corporate Amendment App</th>
</tr>
</thead>
</table>

**Which application should I use?**

If you are applying to admit a newly formed stand-alone or affiliate insurance company, or to re-domesticate into a Uniform State, you will need to file a Primary Application. Also, if you are applying to admit an alien insurer in its first state, you will need to file a Primary Application.

If you are an existing company and would like to obtain a Certificate of Authority in uniform states, please use the Expansion Application, available in electronic format.

If you are an existing company and would like to amend your Certificate of Authority, such as adding or deleting lines of business, please use the Corporate Amendments Application, also available in electronic format.

**Electronic Application**

**Expansion Application Instructions**

**UCAA Forms**

<table>
<thead>
<tr>
<th>Form #</th>
<th>Form Name</th>
<th>Format</th>
</tr>
</thead>
<tbody>
<tr>
<td>1E</td>
<td>Expansion Checklist</td>
<td>Word  PDF</td>
</tr>
<tr>
<td>2E</td>
<td>Expansion Application</td>
<td>Word  PDF</td>
</tr>
<tr>
<td>3</td>
<td>Lines of Insurance</td>
<td>Word  PDF</td>
</tr>
<tr>
<td>6</td>
<td>Certificate of Compliance</td>
<td>Word  PDF</td>
</tr>
<tr>
<td>7</td>
<td>Certificate of Deposit</td>
<td>Word  PDF</td>
</tr>
<tr>
<td>8</td>
<td>Questionnaire (Primary and Expansion)</td>
<td>Word  PDF</td>
</tr>
<tr>
<td>11</td>
<td>NAIC Biographical Affidavit</td>
<td>Word  PDF</td>
</tr>
<tr>
<td>12</td>
<td>Uniform Consent to Service of Process (Expansion and Corporate Amendments Only)</td>
<td>Word  PDF</td>
</tr>
<tr>
<td>13</td>
<td>ProForma Financial Statements (Property/Casualty Companies)</td>
<td>Excel</td>
</tr>
<tr>
<td>13</td>
<td>ProForma Financial Statements (Life/Health Companies)</td>
<td>Excel</td>
</tr>
<tr>
<td>13</td>
<td>ProForma Financial Statements (Title Companies)</td>
<td>Excel</td>
</tr>
<tr>
<td></td>
<td>ProForma Financial Statements</td>
<td>Excel</td>
</tr>
</tbody>
</table>

**Downloading a Form**

Click on the Microsoft Word or Adobe portable document file (PDF) file format. (The form opens in the same window as the UCAA application.)

- Go to the **Menu Bar**.
- Click **File** and then **Save As**.
- Choose a location.
- Click **Save**.
**CAUTION**: Do not confuse the document window with Microsoft Word or Microsoft Excel. Use the **Back** browser button when finished with the document—not the **Exit** button. The **Exit** button will close the Internet browser and require the user to log in again. See the following screen view.

Helpful hint: If a background investigation report is required, select an approved vendor from the NAIC/UCAA website several weeks prior to submitting your expansion application. All required items of the application should be sent to the DOI within a short time frame so that the review of the application is not interrupted waiting on information.

**MAIN MENU**

There is a link on the main menu to all the sections of the expansion application. The **Main Menu** screen is seen when the insurer opens an existing application.
Edit Application Information

The users can log out of the application at any time during the completion process. When logging in to an existing application, the insurer is directed to the Main Menu. To access the application, select the Edit Application Information link to continue working on the application. The application will save automatically when selecting the links provided in the application.

View/Print UCAA Forms

The completed UCAA forms within the UCAA portal are located in the view application screen. Printing and downloading the actual form are available to the user, if needed. Click the View/Print UCAA Forms link for options. This is the only option to view the checklist, Form 1E. The checklist is not an editable form and can only be downloaded or printed.

Helpful hint: When submitting an application to several states—even states that prefer hardcopy—complete the electronic application for all states and print a copy of the entire application for hardcopy submissions.

Downloading UCAA Forms

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. There also is an option to include 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 are selected, click on Download Application to complete the process.

The zip file can later be opened.

Helpful hints: The electronic application is stored and referenced by the tracking number. When downloading the application, the name of the file can be changed once it is stored on the company’s database. Applications should be saved in its original format before any amendments are made to the application. The NAIC does not version the application, so only the most recent submission is available. UCAA filings have a 10-year retention period.
From this display, the document can be printed or saved to a file. When the document is saved to a file, the default file type will be rich text format (RTF). All Windows-based computers will be able to open and view an RTF document, provided the file is not too large. Other file types may be available by clicking the drop-down arrow next to the File Type option in the Save As window.
The UCAA form in hardcopy format may also be printed from the same display by simply clicking the **Print** button or by going to **File** and **Print** from the menu.

**Email**

In order to maintain a history of the UCAA communications within this application, contact between the Applicant Company and the expansion states must be processed through this portal. Email communications processed via UCAA email will be automatically tracked for easy reference.

Click the **Send An Email** button to start a new message.
Use the To: (Email Address) button to select an addressee.

- Choose from the defined list.
- Type in the recipient address in the Other Recipients box (if the recipient name is not listed).
- Click on Add List button.
- Click the Return button to return to the message.

Note: The maximum allowable recipients are 50. This includes the defined UCAA users and other recipients.

To complete the email information:
- Enter the subject in the Subject line and the body of text in the spaces provided.
- Click Send at the bottom of the UCAA Send Email Form.
Helpful hint: The subject line should contain information regarding the purpose of the email.

When submitting an expansion application to several states, depending on the progress of the application, states can review the subject of previous emails and find information that may pertain to their state review, thus saving time on duplicate requests to the Applicant Company.

Note: Replying to and forwarding an email are the same. A recipient’s address must still be entered. An email should only be sent to ucaa@naic.org if there is an issue with the application. If the issue requires a quick response, all urgent requests should be sent directly to help@naic.org.
Application Progress

Once a form has been completed and it passes validation, an X will appear next to the form name in the completed column. An expansion application cannot be submitted to the state(s) until all the required forms have an X in the completed column.

![Application Progress](image)

<table>
<thead>
<tr>
<th>X's indicate completed portions of the application. All sections shown must be completed for the application to be submitted.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Authorized/Submission State</td>
</tr>
<tr>
<td>Uses of Business Information</td>
</tr>
<tr>
<td>Applicant Company Address Information</td>
</tr>
<tr>
<td>General Information</td>
</tr>
<tr>
<td>Authorized Representative Information</td>
</tr>
<tr>
<td>Questionnaire</td>
</tr>
<tr>
<td>Uniform Consent to Service of Process</td>
</tr>
<tr>
<td>Applicant Company officers’ Certification and Attestation</td>
</tr>
<tr>
<td>10-Q Form Financial Statement</td>
</tr>
<tr>
<td>Minimum Capital and Surplus Requirements</td>
</tr>
<tr>
<td>Plan of Operation Narrative</td>
</tr>
<tr>
<td>Reports of Examination</td>
</tr>
</tbody>
</table>

View General Attachments

To access the alphabetical listing of required attachments for an expansion application, select the Attach/View General Attachment link from the main menu. Each attachment option provides the citation from the instructions for reference. These citations also are provided on Form 1E, the checklist.

<table>
<thead>
<tr>
<th>Electronic Attachments</th>
<th>Attachment</th>
</tr>
</thead>
<tbody>
<tr>
<td>Articles of Incorporation</td>
<td><img src="image" alt="Attachment" /></td>
</tr>
<tr>
<td>Biographical Affidavit</td>
<td><img src="image" alt="Attachment" /></td>
</tr>
<tr>
<td>Bylaws</td>
<td><img src="image" alt="Attachment" /></td>
</tr>
<tr>
<td>Cover Letter Requirements</td>
<td><img src="image" alt="Attachment" /></td>
</tr>
</tbody>
</table>

Helpful hint: The user also may need to reference the state charts located on the UCAA web page for the state’s requirement for certain documents that are required to be filed with the application. Expand the listing under UCAA State Charts to view all requirement charts.
If attachments are included in a requirement, the General Attachments window will show a “File Attached” message beneath the attachment button. Attachments can be added or removed throughout the application completion process. Once the application is submitted/finished, the application must be amended in order to add or remove an attached file.

**Finalization of the Electronic Expansion Application**

Once all the forms are completed and files are successfully attached, an X is displayed in the completed column of the checklist to indicate the completed portion of the application.

| X: 98765-000  | ABC Co  | 12345  | 23-1010101 |

X's indicate completed portions of the application. All sections shown must be completed for the application to be submitted.
The **Help** link directs the user to the NAIC website. Links are available to various parts of the UCAA application from this page.

**Logout**

The logout link exits the user from the UCAA application.

**NOTE:** There is a time-out feature within the UCAA application. If there is no activity for 15 minutes, the user must log in again to continue.

**Finish Application**

Clicking the **Finish Application** link from the **Main Menu** submits a completed application to all the expansion states selected in the filing.

When all the forms pass validation, the following message will be displayed.

---

**CONGRATULATIONS!**

UCAA Tracking Number:
88765-008
Name of Insurer/Company Name:
ABC Co
NAIC Company Code:
12345
FEIN:
23-1001010

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

Please remember to submit filing fees directly to the submission states. Also, the Biographical Affidavits and Third Party Investigative Report need to be received by the expansion states before the application will be considered complete.

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Notifications

Only when an application has successfully been submitted, email notifications are sent to the domiciliary state and expansion state(s). When the expansion state updates a status of the filing, email notifications are sent to the Applicant Company contact.

Notification Examples:  
Certificate of Compliance
Certificate of Deposit
Expansion Application has been filed
Application has been accepted as complete
Filing fees received

APPLICATION STATUS

The company can view the status of the state’s review process by selecting a submitted application from the Application Selection screen. Submitted applications will be located under the Existing Applications heading.

Use the scroll bar to locate the desired tracking number and then click on the tracking number.

<table>
<thead>
<tr>
<th>Existing Applications for Cocode</th>
<th>Application Type</th>
<th>Tracking Number</th>
<th>Status</th>
<th>Change Type</th>
<th>Last Accessed</th>
<th>Change</th>
<th>Delete</th>
</tr>
</thead>
<tbody>
<tr>
<td>Expansion Application</td>
<td>20793-002</td>
<td>Submitted, domiciliary state processing</td>
<td></td>
<td>12/07/2017</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Expansion Application</td>
<td>21542-000</td>
<td>Non-submitted</td>
<td></td>
<td>12/07/2017</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Expansion Application</td>
<td>20607-000</td>
<td>Non-submitted</td>
<td></td>
<td>10/30/2017</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Expansion Application</td>
<td>20099-000</td>
<td>Non-submitted</td>
<td></td>
<td>10/09/2017</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Expansion Application</td>
<td>20608-000</td>
<td>Non-submitted</td>
<td></td>
<td>08/25/2017</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Expansion Application</td>
<td>10302-001</td>
<td>Submitted</td>
<td></td>
<td>02/13/2017</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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

Note: If the submitted date is older than the status date; that is an indication that the original filing was amended.

The application status for a new expansion application will include a status for the certificate of compliance and certificate of deposit. 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 an expansion application will include: filing fee received; third party investigative report received; application accepted as complete; application approved for admission; or application closed.

The submission states will complete the following dates during their review process;

- **Filing Fee Received**
  The submission states will acknowledge receipt of filing fees received (if applicable) with a date when received.

- **Third Party Investigative Report Received**
  The submission states will acknowledge receipt of third party investigative reports 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 expansion application.

- **Application Approved for Admission**
  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.

**AMEND APPLICATION**

Once submitted, applications cannot be deleted. However, they may be amended on a subsequent menu once the application is selected.

![Amendment Form](image)

Clicking the **Amend** button will display the Amendment Form as shown below. An explanation for the amendment is required. This explanation is provided in the email notification once the filing is finished/submitted.

![Amendment Form](image)

**Note:** Not all state requests for information warrants an application amendment. State-specific requests can be provided via the UCAA email.

Once the application information window opens, the UCAA tracking number has been updated to reflect the first revision. The “001” indicates that this is the first revision.
Once the amendment is complete, click the **Finish Application** link to complete this revision. A “Congratulations!” message appears to confirm the submission and automatically sends the notification email.

Submitted applications may be tracked through the Application Status screen. Once the domiciliary state completes Form 6 and Form 7, the expansion states will complete their review process. Notifications also are sent out via UCAA email to all expansion states when Form 6 and Form 7 are completed.

Helpful hint: The Applicant Company cannot access electronically completed certificates of compliance or deposit. To verify completion, view the checklist, Form 1E to see those required items have been checked or the **View Application Status** link for the date the domiciliary state completed the certificates.

Important note: If the amended application is not resubmitted, it will remain in a suspended status, and no expansion state(s) will be able to review or retrieve the application. It is important to return to the main menu once all amended forms and attachments have been completed and select the **Finish Application** link to resubmit the amended application.
APPENDIX A

Cloning an Expansion Application

Once an application is submitted, it cannot be amended to include another expansion state. If the Applicant Company is expanding into a new state, a new application can be created based on a previously submitted application. That application is used as a template for a new application. All of the attachments from a previously submitted application are attached in the new application except the completed certificates of compliance and/or deposit. Each new application requires the domiciliary state’s approval and completion of certificates.

To start an expansion application from a previously submitted application:

- Click the clone button next to the Expansion button, and choose the desired submitted application from the menu provided.

Or Select the Clone icon next to the desired submitted application and confirm the creation of a new expansion application.

Click OK to begin the new application.
Note: The application assigns a new UCAA tracking number (e.g., 98766-000).

- Click the **Main Menu** link.
- Click the **Application Progress** button.

Some portions of the application are marked as completed. By using the template to create a new application, the user needs to complete the items that are not checked in order to complete the validation of the new application.

Helpful hint: The officer of the Applicant Company must attest to the information provided in the new application. Therefore, the questionnaire should be reviewed to ensure that the responses and attachments to certain questions are answered according to the requirements of the new expansion state.

The user will need to complete the following sections:

- **Expansion States** – Refer to Page 7 to complete the form.
- **Authorized States** – Refer to Page 7 to complete the form.
- **Lines of Business** – Refer to Page 8 to complete the form.
Applicant Officers’ Certification and Attestation

The position and location fields are populated. The date field needs to be updated to reflect the date this application is executed. When the insurer clicks on the Officer Legal Names and Signatures link, the names will be populated.

In the Date Signed field, the user types in a date and clicks on the signature box for each signature.

Helpful hint: The officer’s title cannot be changed. Only those officers listed can attest and verify the contents of the filing.
Pro Forma Financial Statements

The insurer can update a previously downloaded form and attach that form to the current application.

Attach Documents

Locate the document before clicking the Attachment button. Ensure that the attachment is not buried in sub-folders; there is a 32-character limit to the file location name. After the Attachment button is clicked, the following will display.
Click on the **Browse** button next to the file name field. Use this browse button to “point to” the file to be attached.

Click on the **Open** button. This will fill in the path for the file name. Finally, click the **Submit** button to attach the document to the filing. A warning message will appear confirming the action.

The user completing the form can go back to any portion and make changes. No changes can be made once the application has been submitted, unless an amendment is completed and a revision number is then added to the application.

There are validations throughout the application process. Anytime the user does not complete a required action, a notification window appears explaining that a field needs to be completed.