



ALABAMA DEPARTMENT OF INSURANCE

Preneed Division

201 Monroe Street, Suite 502

Montgomery, AL 36130-3351

APPLICATION FOR RENEWAL OF PRENEED CERTIFICATE OF AUTHORITY

FORM ARPCA (REVISED 01/2014)

(APRIL 1, 2014 - MARCH 31, 2015)

THIS APPLICATION MUST BE RECEIVED BY THE ALABAMA DEPARTMENT OF INSURANCE ON OR BEFORE APRIL 1, 2014 OR BE POSTMARKED ON OR BEFORE MARCH 31, 2014.

MAIL THIS APPLICATION TO:

ACCOUNTING DIVISION

P. O. BOX 303351

MONTGOMERY, ALABAMA 36130-3351

NAME OF PRENEED CERTIFICATE HOLDER

ADDRESS OF PRENEED CERTIFICATE HOLDER

CERTIFICATE HOLDER'S TELEPHONE NUMBER AND E-MAIL ADDRESS

PRENEED CERTIFICATE OF AUTHORITY NUMBER

TYPE OF CERTIFICATE HOLDER (Funeral Establishment/Director, Cemetery Authority, Third-Party Seller)

Along with the application, the certificate holder must file a financial statement for the most recent fiscal year. Under Regulation Chapter 482-3-001-.05, the financial statement may be prepared on either a GAAP basis or the statutory basis of accounting described in the Regulation. Also, the application must be accompanied by the annual renewal fee as shown on the renewal invoice.

Do any assets shown on the financial statement include any preneed receivables? Yes ____ No ____ If the answer is yes, has the corresponding preneed deferred revenue been shown on the financial statement? Yes ____ No ____ The preneed receivables and preneed deferred revenue related to preneed contracts must be split to show separately those receivables and deferred revenue related to pre-law contracts and those related to post-law contracts. .

Has there been a change in ownership of the entity holding the preneed certificate of authority? Yes ____ No ____ If the answer is yes, please describe the change on a separate sheet of paper.

Since filing last year's renewal application, has the name, address, telephone number or email address of the certificate holder changed? Yes ____ No ____ If the answer is yes, please describe the changes on a separate sheet of paper.

Is the preneed business under this Certificate of Authority conducted from more than one location? Yes ____ No ____ If the answer is yes, provide the name, address and telephone number of each location on a separate sheet of paper.

Has the certificate holder been the subject of any bankruptcy proceeding or had a judgment filed against it since the date of the last application? Yes ____ No ____ If the answer is yes, attach a statement of the facts together with the case style and number and name and location of the court(s) in which the proceedings were held or are pending.

For the renewal year, how will the preneed contracts be funded?

(Trust Fund, Life Insurance, Letter of Credit, Surety Bond)

Has there been a change in the funding method since the previous application? Yes ____ No ____ If the answer is yes, what was the previous funding method?

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POST-LAW CONTRACTS ONLY

TRUST FUNDS

If contracts are funded with a trust, who is the trustee(s)? _____

Is this trustee(s) the same trustee(s) as was designated in the previous application? Yes ____ No ____

If this trustee(s) is different from the trustee(s) designated in the previous application, have new trust documents been filed with the Alabama Department of Insurance? Yes ____ No ____

As of Dec. 31, 2013, what is the total number of all post-law preneed contracts outstanding in which the funding method is trust? _____

	Principal	Interest	Total
Balance of Trust Fund(s) at Dec. 31, 2013:	\$ _____	\$ _____	\$ _____

Attach Statement of Activities of Trust Fund Provided by Trustee(s). If More Than One Trust, Attach Statement For Each Trust.

LIFE INSURANCE

If contracts are funded with life insurance, who is the insurance company(ies)? _____

Is this insurance company(ies) the same insurance company(ies) as was designated in last year's renewal application? Yes ____ No ____

As of Dec. 31, 2013, what is the total number of all post-law preneed contracts outstanding in which the funding method is life insurance? _____ Total Death Benefit at Dec. 31, 2013: \$ _____

LETTER OF CREDIT

If contracts are guaranteed by a letter(s) of credit, who is the issuer of the letter(s) of credit? _____

Is the issuer of the letter(s) of credit the same issuer as was designated in last year's renewal application? Yes ____ No ____

If the issuer of the letter(s) of credit is different, has the new letter(s) of credit been filed with the Alabama Department of Insurance? Yes ____ No ____

As of Dec. 31, 2013, what is the total number of all post-law preneed contracts outstanding in which the funding method is Letter of Credit? _____

Amount of Letter(s) of Credit:	\$ _____
Outstanding Letter(s) of Credit Liability	\$ _____

SURETY BOND

If contracts are guaranteed by a surety bond(s), who is the issuer of the surety bond(s)? _____

Is the issuer of the surety bond(s) the same issuer as was designated in the previous application? Yes ____ No ____

If the issuer of the surety bond(s) is different, has the new surety bond(s) been filed with the Alabama Department of Insurance? Yes ____ No ____

As of Dec. 31, 2013, what is the total number of all post-law preneed contracts outstanding in which the funding method is Surety Bond(s)? _____

Amount of Surety Bond(s)	\$ _____
Outstanding Surety Bond Liability	\$ _____

APPLICATION FOR RENEWAL OF PRENEED CERTIFICATE OF AUTHORITY
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POST-LAW CONTRACTS ONLY

		<u>Number</u>
Preneed Contracts Outstanding on December 31, 2012	<u>Contracts Outstanding Dec. 2012</u>	_____
Preneed Contracts Written During 2013	(+) Contracts Entered Into	_____
Preneed Contracts Cancelled During 2013	(-) Contracts Cancelled	_____
Preneed Contracts Fulfilled During 2013	(-) Contracts Fulfilled	_____
Preneed Contracts Outstanding on December 31, 2013	(=) <u>Contracts Outstanding Dec. 2013</u>	_____

Note: Preneed contracts outstanding at December 31, 2013 should balance with sum of post-law preneed contracts listed on page 2 of this application.

State the Gross Sales Amount of Preneed Contracts Outstanding, as of December 31, 2013 \$ _____

Citizenship Declaration

(The purpose of this section is to identify sole proprietorships and general partnerships. **Corporations and LLCs do not need to complete this section.**)

Is the preneed certificate holder an individual/sole proprietor? Yes _____ No _____

If the answer is yes, complete and attach the Citizenship Declaration Form CDPCHBR-1 (11/2011) to this Application for Renewal of Preneed Certificate of Authority.

Is the preneed certificate holder a general partnership made up of individuals/partners? Yes _____ No _____

If the answer is yes, each partner must complete and attach the Citizenship Declaration Form CDPCHBR-1 (11/2011) to this Application for Renewal of Preneed Certificate of Authority.

Only sole proprietors and partners in a general partnership must complete the Citizenship Declaration Form.

Note: The Citizenship Declaration Form (Form CDPCHBR-1 (11/2011)) is available on the Department's website at: www.aldoi.gov

PLEASE SIGN AND DATE BELOW.

I certify that the above information, including the attached financial statement is true and correct to the best of my knowledge and belief.
I also certify that I have complied with all of the requirements of Chapter 27-17A, Code of Alabama 1975 and request renewal of the Preneed Certificate of Authority.

Signature of Certificate Holder

Date