

CHECKLIST FOR RENEWAL OF PRENEED CERTIFICATE OF AUTHORITY AND BRANCH REGISTRATION

The following is a checklist of the items that must be submitted to Alabama Department of Insurance for review for renewal of your preneed certificate of authority. When you return the application for renewal, attach a copy of this checklist (with the boxes checked as appropriate) so that we can expedite the review.

TO BE CONSIDERED ON TIME, ALL RENEWAL DOCUMENTS AND FEES MUST BE RECEIVED ON OR BEFORE APRIL 1, 2014, OR BE POSTMARKED ON OR BEFORE MARCH 31, 2014. YOU WILL BE SUBJECT TO A PENALTY OF UP TO \$100/DAY FOR LATE FILING. IF THE RENEWAL DOCUMENTS and FEES ARE NOT RECEIVED BY JUNE 1, 2014, YOUR CERTIFICATE OF AUTHORITY WILL EXPIRE AND YOU WILL NOT BE AUTHORIZED TO SELL PRENEED FUNERAL OR CEMETERY MERCHANDISE AND SERVICES AFTER THAT DATE.

Note: All renewal forms are available online at www.aldoi.gov. Click on the Preneed link then scroll down to Quick Links and click on “Filing an Application for Renewal of Preneed Certificate of Authority”. Links to all required forms are on that page.

- Check for renewal fees for Certificate of Authority and Branch Registration (as appropriate).
- Annual Certificate of Authority and Branch Registration Renewal Invoice.
- Application for Renewal of Preneed Certificate of Authority
Note: The third page of the application must be signed and dated.
- Application for Renewal of Preneed Branch Registration (signed and dated for each branch with all appropriate information provided).
- Financial Statement as of the last fiscal year prepared in accordance with Alabama Preneed Regulation Chapter 482-3-001-.05. The financial statement may be **either** a financial statement in the form set forth in the Appendix to the Alabama Preneed Regulation Chapter 482-3-001 which may be downloaded from the ALDOI website at www.aldoi.gov; **or** a financial statement accompanied by a compilation, review or audit report from a licensed certified public accountant, prepared in conformance with GAAP. **Please do not place the financial statement in a binder.**
- Annual Report for Endowment Care Trust Fund (if applicable). This report along with a statement of the activities of the Endowment Care Trust must be filed for each cemetery owned or operated by the certificate holder or branch registrant. The report requires disclosure of the amount held in trust at the end of both the current and the prior calendar year.
- Copy of annual preneed sales agent renewal invoice and a copy of online payment confirmation; both of which will be available February 15, 2014 at www.NIPR.com.

If you have been notified by the Department of any administrative action, that action must be addressed and/or resolved to the Commissioner’s satisfaction before your certificate and any branch registrations are renewed. See Alabama Preneed Regulation Chapter 482-3-001-.17. Delay may result in expiration of your Certificate of Authority.