

**CHECKLIST FOR APPLICATION FOR PRENEED CERTIFICATE OF
AUTHORITY
FORM CKAPCOA (12/2011)**

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

- Check for application fee (for both certificate holder and any branches, as appropriate).
- Application for Preneed Certificate of Authority (signed and dated, with all appropriate information provided, including biographical and ownership information). Please indicate what method you will use to fund the preneed sales (life insurance, trust, letter of credit, surety bond). Whichever method is chosen, please indicate who the trustee, insurance company, issuer of the letter of credit or surety bond, as appropriate, will be. If a letter of credit or surety bond is to be used, please file the original of the letter of credit issued by the financial institution or the original of the surety bond issued by the insurance company. If a trust is to be used, an original copy of the trust document, signed and executed by the preneed entity and the financial institution.
- Application for Preneed Branch Certificate of Authority (if any) (signed and dated for each branch, with all appropriate information provided)
- Financial Statements as of the last fiscal year end. The financial statement must be a full and complete statement of the financial condition of the funeral establishment, cemetery authority or third-party seller. Under Rule 482-3-001-.05, the financial statement may be prepared using either generally accepted accounting principles (GAAP) or be prepared using the form and basis of accounting prescribed in that Rule.
- Registration of Preneed Sales Agent. Each person selling preneed funeral merchandise and services and/or cemetery merchandise and services for the certificate of authority holder must be registered as a preneed sales agent. Instructions and the form for agent registrations are found at <http://www.aldoi.gov/Preneed/PSA.aspx> Please note that each preneed entity must have at least one preneed sales agent registered.
- Copy of preneed contract to be used in preneed sales.
- Endowment care cemetery trust document (if applicable)