

## CHECKLIST FOR PRENEED CERTIFICATE OF AUTHORITY & BRANCH REGISTRATION RENEWAL APPLICATIONS

The following is a checklist of the items that must be submitted to the Alabama Department of Insurance for renewal of your Preneed Certificate of Authority and any Branch Registrations. Complete this checklist and include it with your renewal submission.

**ALL RENEWAL DOCUMENTS AND FEES MUST BE RECEIVED ON OR BEFORE JULY 1<sup>ST</sup> OF THE RENEWAL YEAR OR THE CERTIFICATE HOLDER WILL BE IN DEFAULT AND SUBJECT TO A FINE OF UP TO \$100/DAY. "THE CERTIFICATE HOLDER'S AUTHORITY TO SELL PRENEED CONTRACTS SHALL CEASE WHILE THE DEFAULT CONTINUES," IN ACCORDANCE WITH ALA. CODE § 27-17A-11(h). IF ON SEPTEMBER 1<sup>ST</sup>, THE CERTIFICATE HOLDER REMAINS IN DEFAULT, THEN THE CERTIFICATE OF AUTHORITY WILL EXPIRE AND A NEW CERTIFICATE OF AUTHORITY MUST BE APPLIED FOR AND APPROVED PRIOR TO RESUMING PRENEED SALES. ANY PRENEED SALES WITHOUT A VALID CERTIFICATE OF AUTHORITY, WHETHER IN DEFAULT OR EXPIRED, IS A VIOLATION OF ALA. CODE § 27-17A-22(a)(1) AND MAY SUBJECT YOU TO CRIMINAL ACTION.**

**Note: All renewal forms are available online at [www.aldoi.gov/preneed](http://www.aldoi.gov/preneed). Please check for the most current versions of all forms.**

- Renewal fee(s) (no cash) for Certificate of Authority and each Branch Registration (if any).
- Annual Certificate of Authority and Branch Registration Renewal Invoice.
- Application for Renewal of Preneed Certificate of Authority
- Application for Renewal of Preneed Branch Registration for each branch (if applicable).
- Financial Statement as of the last fiscal year prepared in accordance with Alabama Preneed Regulation Chapter 482-3-003-.10. If granted an exemption - attach a copy of the exemption letter. **Please do not place the financial statement in a binder.**
- Copy of annual preneed sales agent renewal invoice and a copy of online payment confirmation for the current year. Go to **www.nipr.com** for invoice availability. Citizenship Documentation for each preneed sales agent (copy of driver or non-driver state ID).
- Citizenship Documentation for owner(s) (required only for individuals or partnerships; not required for Corporations, an LLC, an S Corp or a C Corp).
- Revised Trust Agreement (only if you fund preneed contracts with a trust or have an Endowment Care Cemetery)
- Annual Trust Statement from Trustee (shows activity from January 1 – December 31) as required by ALA. CODE § 27-17A-11(g). Required if funding by trust or ever funded by trust and contracts remain unfulfilled.

Your renewal application is not complete until all of the above have been received, completed as applicable, including all fees and required signatures. In addition to the renewal documents, if you have not filed the other reports required such as the Semi-Annual Report of Preneed Activity, the Annual Report of Endowment Care Cemetery Trust Fund and Cemetery Property Sales Log, and any other required reports must be received before the Department will renew your Certificate of Authority or any Branch Registrations. Any administrative action, including examination findings, must be addressed and/or resolved to the Commissioner's satisfaction before the Department will renew your Certificate of Authority or any Branch Registrations. Failure to address administrative actions may result in expiration of your Certificate of Authority and Branch Registrations. See Alabama Preneed Regulation Chapter 482-3-003-.16.