



**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.**

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**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: \$ \_\_\_\_\_

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**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	\$ _____

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**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	\$ _____

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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](http://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