

APPLICATION FOR TRANSFER OF PRENEED BRANCH REGISTRATION

NAME OF PRENEED BRANCH REGISTRANT TO BE TRANSFERRED:

PRENEED BRANCH REGISTRATION NUMBER: _____

NAME, PRENEED NUMBER AND ADDRESS OF PRENEED CERTIFICATE OF AUTHORITY UNDER WHICH THE PRENEED REGISTRANT IS AFFILIATED:

NAME: _____ NUMBER: _____

ADDRESS: _____

ADDRESS OF PRENEED BRANCH REGISTRANT TO BE TRANSFERRED:

NAME OF TRANSFEREE: _____

ADDRESS OF TRANSFEREE:

A transfer fee of \$100.00 must accompany this Application for Transfer of Preneed Branch Registration.

Is the transferee already in the preneed funeral, cemetery or third party seller business?

_____ Yes _____ No

If yes, does the transferee have an existing preneed certificate of authority? _____ Yes _____ No

If yes, under what name does the transferee operate its preneed business?

If yes, what is the preneed certificate of authority license number of the transferee? _____

Will the transferee operate the transferred entity as a part of a common business enterprise, with a name other than that of the common business enterprise, and register the entity as a branch registrant?

_____ Yes _____ No Or will the entity operate under the name of the common business enterprise, with the transferee surrendering the transferred preneed branch registration?

_____ Yes _____ No If the transferred preneed branch registration is to be surrendered, the transferee must comply with the requirements of Section 27-17A-16, Code of Alabama 1975, by filling out Form ASPCAL (4/2003).

If the answer to the first question above was no (with regard to whether the transferee is already in the preneed business), does the transferee intend to provide all the documents required by Section 27-17A-11, Code of Alabama 1975, to the Alabama Department of Insurance? _____ Yes _____ No

If the answer to the first question above was yes (with regard to whether the transferee is already in the preneed business), by what date does the transferee intend to provide those documents required by Section 27-17A-11, Code of Alabama 1975, to the Alabama Department of Insurance? _____

If the answer is no, please provide an explanation as to how the transferee intends to comply with Section 27-17A-11, Code of Alabama 1975.

What was the method of funding for the preneed contracts sold by the entity being transferred (trust fund, insurance policies, letter of credit, surety bond)? _____

The transferee should explain on a separate sheet of paper the procedures to be used in protecting the existing preneed funds of the entity being transferred, i.e., if the existing preneed funds are in a trust agreement, will that existing trust agreement be maintained or will the existing preneed funds be transferred to the trust of the transferee, etc.? The explanation will depend upon the funding methodology of the existing entity and the funding methodology of the transferee, but the explanation should be full and complete.

Does the transferee intend to notify the existing preneed certificate holders of the transfer of their certificates and if so, how will the notification be made? _____ Yes _____ No

If the Alabama Commissioner of Insurance approves the transfer, the effective date of the transfer will be the date the Commissioner approves the transfer as shown below.

Signature of Transferring Preneed Certificate of Authority Holder
With Which the Branch Registrant is Affiliated

Date

Signature of Transferee

Date

Signature of Alabama Commissioner of Insurance

Date