



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 (11/2011)

(APRIL 1, 2012 - MARCH 31, 2013)

THIS APPLICATION MUST BE RECEIVED BY THE ALABAMA DEPARTMENT OF INSURANCE ON OR BEFORE APRIL 1, 2012 OR BE POSTMARKED ON OR BEFORE MARCH 31, 2012.

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 AND E-MAIL ADDRESS

PRENEED CERTIFICATE OF AUTHORITY NUMBER

TYPE OF CERTIFICATE HOLDER (Funeral Establishment/Director, Cemetery Authority, Third-Party Seller)

The following information must be provided with regard to the annual renewal of the preneed certificate of authority.

The certificate holder must file a full and true statement of the financial condition of the funeral establishment, cemetery authority or third-party seller. This statement must be as of the last fiscal year ending prior to the date of this renewal. Under Regulation Chapter 482-3-001-.05, the financial statement may be *either* a GAAP financial statement *or* the form of financial statement using the basis of accounting described in the Regulation.

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? 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 and those related to post-law. ___ Yes ___ No

This application for renewal of certificate of authority must be accompanied by the annual renewal fee as indicated on the renewal invoice.

If appropriate, on a separate sheet of paper, list all funeral and cemetery locations associated with the preneed certificate holder. The listing should include the name and address of each of the locations.

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 such changes on a separate sheet of paper.

Has any information furnished with the previous application for a certificate of authority changed? ___ Yes ___ No
If the answer is yes, please describe such changes on a separate sheet of paper.

Has the applicant 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, 2011, what is the total number of all post-law preneed contracts outstanding in which the funding method is trust?: _____

	<u>Principal</u>	<u>Interest</u>
Total Balance of Trust Fund(s):	\$ _____	\$ _____

Attach Statement of Activities of Trust Fund Provided by Trustee(s). If More Than One Trust, Attach Statement For Each Trust.

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 the previous application? ____ Yes ____ No

As of Dec. 31, 2011, what is the total number of all post-law preneed contracts outstanding in which the funding method is life insurance?: _____ Total Face Amount: \$ _____

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 the previous 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, 2011, 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:	\$ _____

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, 2011, 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>	<u>Gross Sales</u>
Preneed Contracts Outstanding at December 31, 2010:	_____	\$ _____
Preneed Contracts Entered Into During 2011:	_____	\$ _____
Preneed Contracts Cancelled During 2011:	_____	\$ _____
Preneed Contracts Fulfilled During 2011:	_____	\$ _____
Preneed Contracts Outstanding At December 31, 2011:	_____	\$ _____

Note: Preneed contracts outstanding at December 31, 2011 should balance with sum of post-law preneed contracts listed on page 2 of this application.

Citizenship Declaration

(The purpose of this section is to identify sole proprietorships and general partnerships. All preneed certificate holders must complete this section; however, only sole proprietors and partners in general partnerships must complete the Citizenship Declaration Form.)

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.

Note: Form CDPCHBR-1 (11/2011) is available on the Department's website at: www.aldoi.gov

PLEASE SIGN AND DATE BELOW.

I certify that the above information is true and correct to the best of my knowledge and belief. I also certify that 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.

Signature of Certificate Holder

Date