

## **Filing an Application for Renewal of Preneed Certificate of Authority and Branch Registration**

Each year on or about January 10, all the required forms along with instructions for filing an application for renewal of certificate of authority will be available on the ALDOI website. The following is a listing of the forms and documents that must be filed by April 1 each year:

- **Checklist** to guide you in the documents that will need to be filed with the Department of Insurance. As you accumulate each of the required documents, place a check mark in the box to indicate to us that the document is enclosed in your submission. Return a copy of the checklist to us. We will be unable to review your renewal submission until such time as all documents have been completed in their entirety and have been filed.
- **Annual Renewal Invoice** that shows the total fees due for the certificate of authority and branch registrants (if any). The renewal invoice is mailed to certificate holders on or about January 10 and must be returned with the Application for Renewal of Preneed Certificate of Authority.
- **Application for Renewal of Preneed Certificate of Authority.** All questions must be answered and all appropriate required documents (such as a financial statement, statement of activities of trust and annual report for endowment care cemetery) must be filed with the application.
- **Application for Renewal of Preneed Branch Registration.** Use this document only if you have branch registrants associated with the certificate holder. A separate application must be used for each branch registrant. All questions must be answered and all appropriate documents must be filed with the application.
- **Financial Statement** as of the last fiscal year prepared in accordance with Alabama Preneed Regulation Chapter 482-3-001-.05. The financial statement may be **either** a financial statement in the form set forth in the Appendix to Alabama Preneed Regulation Chapter 482-3-001 which may be downloaded from the ALDOI website; **or** a financial statement accompanied by a compilation, review, or audit report from a licensed certified public accountant prepared in conformity to GAAP. **Please do not place the financial statement in a binder.**
- **Annual Report for Endowment Care Trust Fund** (if applicable). This report along with a statement of the activities of the Endowment Care Trust must be filed for each cemetery owned or operated by the certificate holder or branch registrant. The report requires disclosure of the amount held in trust at the end of both the current and the prior year.
- **Annual Preneed Sales Agent Registration Renewal Invoice** will be available online at [www.NIPR.com](http://www.NIPR.com) February 15 each year. **The renewal invoice will not be mailed.** Certificate holders must pay the invoice on line and mail a copy of the invoice and the payment confirmation form with their application for renewal of certificate of authority. Instructions for paying the invoice on line are available on the Department's website under **Registration and Renewal of Preneed Sales Agents** link.

All of these forms (as appropriate) must be received by April 1, or be postmarked no later than March 31. All submissions received after April 1 or postmarked after March 31 will be subject to a \$100 per day fine. If the forms and financial statement have not been received by June 1, the certificate of authority will expire, and if you wish to write preneed contracts after June 1, you must apply for a new certificate of authority.