

CHECKLIST FOR PRENEED BRANCH REGISTRATION - NEW APPLICATION

The following is a checklist of the items that must be submitted to the Alabama Department of Insurance in order to obtain a Branch Registration. Complete this checklist and include it with your application submission. If an item does not apply, mark N/A in the box. **Your application is not complete until all items have been received, completed as applicable, including all fees and required signatures.**

ANY PRENEED SALES WITHOUT A VALID CERTIFICATE OF AUTHORITY AND/OR BRANCH REGISTRATION VIOLATES ALA. CODE SECTION 27-17A-22(a)(1) AND MAY SUBJECT YOU TO CRIMINAL ACTION.

Note: Please visit www.aldoi.gov/preneed for the most recent version of all forms.

- Application for Preneed Branch Registration (signed and dated).
- Application fee of \$180 (no cash).
- Appropriate transfer application(s), checklists and documentation (if applicable)
- List of each Trustee, Life Insurance/Annuity Company, Letter of Credit Issuing Bank or Surety Bond Company related to the method(s) of funding. If funded by trust or trust alternative, place a check next to the intended method(s) and provide the document(s) listed:
 - Trust: provide an original copy of the trust agreement, signed and executed by the preneed entity and the financial institution.
 - Participation Agreement (For group trusts)
 - Letter of Credit: provide the original letter of credit issued by the financial institution.
 - Surety Bond: Provide the original surety bond issued by the insurance company.
- Financial Statement as of the last fiscal year prepared in accordance with Alabama Preneed Regulation Chapter 482-3-003-.10.
- Registration of Preneed Sales Agent. Each person selling preneed funeral merchandise and services and/or cemetery merchandise and services for the branch must be registered by the certificate of authority holder as a preneed sales agent. Instructions and the form for agent registrations are found at <http://www.aldoi.gov/Preneed/PSA.aspx>.
- Preneed Sales Agent - evidence of citizenship, such as a driver's license, for each PSA registered.
- Citizenship Documentation (required only for individuals or partnerships; not required for Corporations, an LLC, an S Corp or a C Corp).
- Copy of preneed contract to be used in preneed sales.
- Endowment Care Cemetery executed trust document (if applicable).