

CHECKLIST FOR PRENEED CERTIFICATE OF AUTHORITY - 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 Preneed Certificate of Authority. Complete this checklist and include it with your 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 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 Certificate of Authority (signed and dated).
- Application fee of \$180 (no cash).
- 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 document, signed and executed by the preneed entity and the financial institution.
 - Participation Agreement (group trusts only)
 - 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.
- Application for Preneed Branch Registration (if any) (signed and dated for each branch, with all appropriate information, fee(s) and checklist(s)).
- Financial Statement as of the last fiscal year prepared in accordance with Alabama Preneed Regulation Chapter 482-3-003-.10. If you are a new owner or this is a new business, a Pro Forma financial statement is acceptable.
- Registration of Preneed Sales Agent. Each person selling preneed funeral merchandise and services and/or cemetery merchandise and services for the certificate of authority holder must be registered as a preneed sales agent. Instructions and the form for agent registrations are found at <http://www.aldoi.gov/Preneed/PSA.aspx> Please note that each preneed entity must have at least one preneed sales agent registered.
- 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).