

# OKLAHOMA INSURANCE DEPARTMENT

FIVE CORPORATE PLAZA  
3625 NW 56TH, SUITE 100  
OKLAHOMA CITY, OK 73112



REGULATED INDUSTRY SERVICES  
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GLEN MULREADY  
INSURANCE COMMISSIONER

✓	Renewal Viatical Settlement Provider Application Checklist	OK Code
	Completed signed and notarized application.	Title 36 O.S. § 4055.3(C)
	Renewal application Fee \$500 payable to the Oklahoma Insurance Department.	Title 36 O.S. § 4055.3(C)
	<b>If there has been a change:</b> Amended designation of an agent for Service of Process completed on UCAA Form 12. Mail with the fee of \$10 payable to the Oklahoma Insurance Department, attention Legal Division.	Title 36 O.S. § 321(A)(3) and § 4055.3(G)
	Assure the Oklahoma Certificate of Incorporation or Certificate of Organization is compliant with the Oklahoma Secretary of State.	Title 18 O.S. § 1130
	Assure any Trade Name or Fictitious Name Certificate is compliant at the Oklahoma Secretary of State. At any time a new Trade name or new Fictitious name is to be used by the company or the current Trade or Fictitious name has changed, provide a new or amended Trade Name report from the Oklahoma Secretary of State.	Title 18 O.S. §§ 1130, 1132, 1140
	Certificate of Good Standing from the domicile state to verify proper licensure in that state.	Title 36 O.S. § 4055.3(F)(5)
	<b>If there has been a change:</b> Amended Detailed Plan of Operation	Title 36 O.S. § 4055.3(F)(1)
	Current audited financial statement consistent with GAAP accounting practices and procedures, to include notes to financial statement and independent auditors report.	Title 36 O.S. § 4055.3(F)(4)(c) and § 4055.7
	Provide a continuation certificate of a surety bond executed and issued by an insurer authorized to issue surety bonds in this state, <b>or</b> policy of errors and omissions insurance issued by an insurer authorized to do business in this state, <b>or</b> a current maturity date and interest rate for the Certificate of Deposit.	Title 36 O.S. § 4055.3(F)(4)(a)
	<b>If there has been a change:</b> An Anti-Fraud Plan that meets requirements of subsection G of Section 13 of Enrolled Senate Bill No. 1980 of the 2 <sup>nd</sup> Session of the 51 <sup>st</sup> Oklahoma Legislature.	Title 36 O.S. § 4055.3(F)(6) and § 4055.13(G)
	<b>If there has been a change,</b> An amended list of all stockholders, partners, officers, members and employees owning 10% or greater of the company's stock. Also include a currently completed UCAA Form 11 biographical affidavit and third party background report from a NAIC approved vendor for each new or changed stockholder, partner, officer, member or employee owning 10% or greater of the company's stock.	Title 36 O.S. § 4055.3(D) and (H)
	A copy of any new or changed advertisement intended for use in this state whether through written, radio or television medium for review and approval.	OAC Title 365:25-11-7