



✓	INITIAL VIATICAL SETTLEMENT PROVIDER APPLICATION CHECKLIST	OK Code
	Completed signed and notarized application.	<b>Title 36 O.S. § 4055.3(B)</b>
	Application Fee \$500 payable to the Oklahoma Insurance Department.	<b>Title 36 O.S. § 4055.3(B)</b>
	Designation of an agent for Service of Process completed on UCAA Form 12. Service of Process fee of \$10 payable to the Oklahoma Insurance Department.	<b>Title 36 O.S. § 4055.3(G) and § 321(A)(3)</b>
	Must be a legal entity: Corporation, LLC, Partnership, LP, or other legal entity registered with Oklahoma Secretary of State. Provide a Certificate of Incorporation or Certificate of Organization from the Oklahoma Secretary of State.	<b>Title 18 O.S. § 1130</b>
	Disclose and provide a Trade Name or Fictitious Name Certificate from the Oklahoma Secretary of State if a Trade name or Fictitious name is to be used by the company.	<b>Title 18 O.S. §§§ 1130, 1132, 1140</b>
	Certificate of Good Standing from the domicile state to verify proper licensure in that state.	<b>Title 36 O.S. § 4055.3(F)(5)</b>
	A Detailed Plan of Operation	<b>Title 36 O.S. § 4055.3(F)(1)</b>
	Current audited financial statement consistent with GAAP accounting practices and procedures, to include notes to financial statement and independent auditors report.	<b>Title 36 O.S. § 4055.3(F)(4)(c) and § 4055.7</b>
	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 deposit of cash in the form of a Certificate of Deposit or Securities or any combination thereof in an amount of \$50,000 pledged to the Oklahoma Insurance Commissioner.	<b>Title 36 O.S. § 4055.3(F)(4)(a)</b>
	A current 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.	<b>Title 36 O.S. § 4055.3(F)(6) and § 4055.13(G)</b>
	A list of all stockholders, partners, officers, members and employees owning 10% or greater of the company's stock. Include a currently completed UCAA Form 11 biographical affidavit and third party background report from a NAIC approved vendor for each person listed.	<b>Title 36 O.S. § 4055.3(D) and (H)</b>
	A copy of any advertisement intended for use in this state whether through written, radio or television medium for review and approval.	<b>OAC Title 365:25-11-7</b>