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## APPLICATION CHANGE OF OWNERSHIP OF NEW CERTIFICATE OF AUTHORITY CHECKLIST

MET	REQUIRED QUALIFICATIONS
	Certificate of Authority has submitted all required reports due to the point of transfer.
	Administrative actions against the Certificate of Authority have been addressed and resolved to the Board's satisfaction.
	Preneed Contracts funded by Surety Bond or Letter of Credit will have to be transferred to a trust or insurance funded contract and funds that have been paid for preneed contracts have been deposited in trust or life insurance company.
SUBMITTED	REQUIRED DOCUMENTS
	Application completed in its entirety
	Change of Ownership application OR Surrender application for Branch Registrants (if applicable)
	List of each location under the common business name of the Certificate of Authority
	New Certificate of Authority application (if applicable)
	Explanation of intent to notify existing preneed contract holders of the change of ownership
	A copy of the complete preneed sales log (dated back to May 01, 2002, or the first preneed sale, whichever is later) used by the Certificate of Authority being transferred
	Current Merchandise and Services Trust Statement(s) provided by the Trustee(s) for each trust account in existence for the Certificate of Authority being transferred
	Current policy/annuity listing(s) in detail provided by each insurer showing the active policy count, each active policy associated with a preneed contract, and the face values for the Certificate of Authority being transferred
	A list of all pre-law contracts and details such as funding method(s), beneficiaries, and retail contract amount for the Certificate of Authority being transferred
	A list of all bank accounts holding preneed funds for the Certificate of Authority being transferred
	Cemetery Property Sales Log (back to May 01, 2002, or the first interment right sold, whichever is later) used by the Certificate of Authority being transferred (if applicable)
	A copy of the Endowment Care Trust Agreement in existence for the Certificate of Authority being transferred (if applicable)
	A copy of the most recent Endowment Care trust statement(s) provided by the trustee for the Certificate of Authority being transferred (if applicable)
	A copy of any existing Merchandise and Services Trust Agreements for the Purchaser of the Certificate of Authority being transferred
	A copy of any new Merchandise and Services Trust Agreements that will go into effect upon the transfer of the Certificate of Authority
	An Asset Purchase Agreement, including all exhibits and schedules, or letter of intent. The agreement should specifically address the transfer of preneed liability (including pre-law contracts, if any) from the seller to the purchaser.
	A copy of any new Endowment Care Trust Agreements that will go into effect upon the transfer of the Certificate of Authority (if applicable)
PAID	REQUIRED FEES
	Application Fee of \$132.00
	Application fee of \$132.00 for each branch registrant being transferred
	Application fee of \$198.00 for New Certificate of Authority (if applicable)
	Background Check Fee of \$38.25 (One fee per person even if applying for multiple licenses at the same time) (if applicable)
	Branch Registrant Application Fee of \$198.00 per application (if applicable)
	Preneed Sales Agent application Fee of \$33.00 per application (if applicable)

· Questions regarding an application should be emailed to [info@fsb.alabama.gov](mailto:info@fsb.alabama.gov) or through our website: [www.fsb.alabama.gov](http://www.fsb.alabama.gov) > About Us > Contact Us

- All fees may be combined in one form of payment (cash, check, money order, cashier's check, or credit card)
- The selling of preneed shall not be authorized prior to approval of the Change of Ownership by the Board.