PHYSICAL ADDRESS: 4276 Lomac Street Montgomery, Alabama 36106

WEBSITE:

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E-MAIL ADDRESS: info@fsb.alabama.gov



MAILING ADDRESS: Post Office Box 309522 Montgomery, Alabama 36130

OFFICE TELEPHONE NUMBER: 334-242-4049

FAX NUMBER: 334-353-7988

APPLICATION TO CHANGE OWNERSHIP OF CERTIFICATE OF AUTHORITY

Application MUST be approved by the Board PRIOR to changing the ownership of the Certificate of Authority.

NAME OF CERTIFICATE OF AUTHORIT	Y TO BE TRANSFERRED (SE	ELLER):			
D/B/A NAME (if applicable):					
MAILING ADDRESS:					
PHYSICAL ADDRESS (if different from	mailing address):				
CERTIFICATE OF AUTHORITY'S E-MAI	CER	CERTIFICATE OF AUTHORITY'S TELEPHONE NUMBER:			
FUNERAL ESTABLISHMENT LICENSE N	NUMBER (if applicable): FF	EDERAL EMPLO	YER IDE	NTIFICATION NUMBER:	
CERTIFICATE OF AUTHORITY'S FISCAL YEAR END DATE:			CERTIFICATE OF AUTHORITY LICENSE NUMBER:		
TYPE OF BUSINESS ENTITY (check the	appropriate box):	· · · · · ·			
Funeral Establishment Cemetery Authority Combination Funeral and Cemetery Third-Party Seller					
TYPE OF ORGANIZATION (check the ap	ppropriate box):				
Sole Proprietorship	Partnership	LLC	LLP	C Corp	S Corp
TYPE OF FUNDING FOR PRENEED CON	TRACTS (Check all that app	ly):			
Trust	Insurance	Letter of Credit Surety Bond		Bond	
IF PRENEED CONTRACTS ARE FUNDE TRUST FUNDED OR INSURANCE FUND PRENEED CONTRACT ALONG WITH CO CONTRACTS BEING TRUST FUNDED O	ED PRIOR TO CHANGE OF O DNTRACT TOTAL AMOUNTS R INSURANCE FUNDED MUS	OWNERSHIP OF S SHOULD BE A' ST ALSO BE AT	CERTIFI TTACHE	CATE OF AUTHORITY. AND WITH THIS APPLICATIO	NACCOUNT OF EACH NAND PROOF OF THE
ARE THERE ANY BRANCH REGISTRAN CERTIFICATE OF AUTHORITY BEING T		HE IF YES, SUBMIT A TRANSFER APPLICATION OR SURRENDER APPLICATION FOR EACH BRANCH REGISTRANT REGISTERED UNDER THE CERTIFICATE OF AUTHORITY.			
ARE THERE ANY OTHER LOCATIONS C	PERATING UNDER A COMM	ON BUSINESS	NAME?	IF YES , ON A SEPARATE F EACH LOCATION OPERAT BUSINESS NAME.	PAGE, LIST THE ADDRESS FOR SING UNDER THE SAME

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DOES THE PURCHASER OF THE CERTIFICATE OF AUTHORTY BEING TRANSFERRED CURRENTLY HOLD A CERTIFICATE OF AUTHORITY LICENSE?			${\color{red} {\bf IF}{\bf NO}}_{\!\!\!\!\!\!\!\!\!\!\!\!\!\!\!\!\!\!\!\!\!\!\!\!\!\!\!\!\!\!\!\!\!\!\!$				
Yes N	o		IF YES , COMPLETE T PURCHASER OF THE TRANSFERRED.		ECTION ABOUT THE AUTHORITY BEING		
DOES THE PURCHASER OF THE CERTIFIC TRANSFERRED INTEND TO NOTIFY EXIST HOLDERS OF THE TRANSFER OF THEIR P	ΓING PRENEED CONTRAC		IF YES , HOW WILL T	HE NOTIFICATION	NS BE MADE?		
Yes N	0		<u>IF NO</u> , ON A SEPARA	TE PAGE, EXPLAII	N WHY NOT.		
PURSUANT TO ALABAMA PRENEED REGULATION 395-X-909 (2) (b), THE PURCHASER MUST PROVIDE NOTIFICATION TO PRENEED CONTRACT HOLDERS IN WRITING OF THE CHANGE OF OWNERSHIP WITHIN NINETY (90) DAYS AFTER THE TRANSFER IS COMPLETE.							
NAME OF CERTIFICATE OF AUTHORITY T	O ACCEPT TRANSFER (PU	URCHASEF	₹):				
D/B/A NAME (if applicable):							
MAILING ADDRESS:							
PHYSICAL ADDRESS (if different from ma	iling address):						
CERTIFICATE OF AUTHORITY'S E-MAIL A	DDRESS:		CERTIFICATE OF AU	THORITY'S TELEF	PHONE NUMBER:		
FUNERAL ESTABLISHMENT LICENSE NUMBER (if applicable): FEDERAL EMPLOYER IDENTIFICATION NUMBER:							
CERTIFICATE OF AUTHORITY'S FISCAL YI	EAR END DATE:		CERTIFICATE OF AU	THORITY LICENSI	E NUMBER:		
TYPE OF BUSINESS ENTITY (check the ap	propriate box):						
Funeral Establishment	Cemetery Authority	Com	ibination Funeral and	d Cemetery	Third-Party Seller		
TYPE OF ORGANIZATION (check the appr	opriate box):						
Sole Proprietorship	Partnership	LLC	LLP	C Corp	S Corp		
TYPE OF FUNDING FOR PRENEED CONTR	ACTS (Check all that apply	y):					
Trust	Insurance	Let	etter of Credit Surety Bond				
1. HOW DOES THE PURCHASER INTEND	TO OPERATE THE CERTIF	FICATE OF	AUTHORITY BEING	TRANSFERRED? (check the appropriate box):		
New Certificate of Authority	BranchRegistrant of Exis	sting Certi	ficate of Authority	Operate und	er a comon business name		
1A. UNDER WHAT NAME WILL THE TRANSFERRED CERTIFICATE OF AUTHORITY OPERATE?:							
2. WHAT TYPE OF FUNDING FOR PRENEED CONTRACTS WILL THE CERTIFICATE OF AUTHORITY USE? (Check all that apply):							
Trust	Insurance	Let	ter of Credit	Surety	Bond		
DATE OF INTENDED CLOSING:							

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Revised 10/2024

THE FOLLOWING DOCUMENTATION IS REQUIRED TO BE SUBMITTED TO THE BOARD ALONG WITH THIS APPLICATION:

- 1. DOCUMENTS RELATED TO THE CERTIFICATE OF AUTHORITY BEING TRANSFERRED:
 - A. A COPY OF THE COMPLETE PRENEED SALES LOG (DATED BACK TO MAY 01, 2002, OR THE FIRST PRENEED SALE, WHICHEVER IS LATER).
 - B. CURRENT MERCHANDISE AND SERVICES TRUST STATEMENT(S) PROVIDED BY THE TRUSTEE(S) FOR EACH TRUST ACCOUNT IN EXISTENCE.
 - C. 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.
 - D. A LIST OF ALL PRE-LAW CONTRACTS AND DETAILS SUCH AS FUNDING METHOD(S), BENEFICIARIES, AND RETAIL CONTRACT AMOUNT.
 - E. A LIST OF ALL BANK ACCOUNTS HOLDING PRENEED FUNDS.
 - F. CEMETERY PROPERTY SALES LOG (BACK TO MAY 01, 2002, OR THE FIRST INTERMENT RIGHT SOLD, WHICHEVER IS LATER), IF APPLICABLE.
 - G. A COPY OF THE ENDOWMENT CARE TRUST AGREEMENT IN EXISTENCE, IF APPLICABLE.
 - H. A COPY OF THE MOST RECENT ENDOWMENT CARE TRUST STATEMENT(S) PROVIDED BY THE TRUSTEE, IF APPLICABLE.
- 2. DOCUMENTS RELATED TO THE PURCHASER OF THE CERTIFICATE OF AUTHORITY BEING TRANSFERRED:
 - A. A COPY OF ANY NEW MERCHANDISE AND SERVICES TRUST AGREEMENTS THAT WILL GO INTO EFFECT UPON TRANSFER OF CERTIFICATE OF AUTHORITY.
 - B. 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).
 - C. PROCEDURES FOR PROTECTING EXISTING PRENEED FUNDS OF THE CERTIFICATE OF AUTHORITY BEING TRANSFERRED.
 - D. A COPY OF ANY NEW ENDOWMENT CARE TRUST AGREEMENT(S) THAT WILL GO INTO EFFECT UPON TRANSFER OF THE CERTIFICATE OF AUTHORITY, IF APPLICABLE.

NOTE: CHANGE OF OWNERSHIP OF THE CERTIFICATE OF AUTHORITY MUST BE APPROVED BEFORE CHANGE OF OWNERSHIP CAN TAKE PLACE FOR THE ESTABLISHMENT AND BUSINESS.

NOTE: PURSUANT TO ALABAMA PRENEED REGULATION 395-X-9-.09 (2) (a), THE BOARD MAY IMPOSE FURTHER REQUIREMENTS FOR THE CERTIFICATE OF AUTHORITY BEING TRANSFERRED VIA E-MAIL OF FURTHER REQUIREMENTS. IF ANY.

BY SIGNING BELOW, THE AUTHORIZED REPRESENTATIVE FOR THE CERTIFICATE OF AUTHORITY BEING TRANSFERRED, AS WELL AS THE AUTHORIZED REPRESENTATIVE FOR THE PURCHASER OF THE CERTIFICATE OF AUTHORITY BEING TRANSFERRED, HEREBY CERTIFY THAT HE OR SHE HAS COMPLIED WITH EACH OF THE REQUIREMENTS STATED IN THIS APPLICATION. FURTHER, THE AUTHORIZED REPRESENTATIVES OF THE SELLER AND THE PURCHASER OF THE CERTIFICATE OF AUTHORITY BEING TRANSFERRED CERTIFY THAT THE INFORMATION GIVEN IN THIS APPLICATION IS TRUE AND CORRECT TO THE BEST OF THEIR KNOWLEDGE AND BELIEF. BOTH AUTHORIZED REPRESENTATIVES OF THE SELLER AND THE PURCHASER UNDERSTANT THAT ANY PERSON WHO KNOWINGLY PRESENTS FALSE OR FRAUDULENT INFORMATION TO THE BOARD OF FUNERAL SERVICES OR IT'S REPRESENTATIVES, WILLFULLY FAILS TO TIMELY MAKE DEPOSITS TO TRUST, OR KNOWINGLY WITHDRAWS UNAUTHORIZED FUNDS OR ASSETS FROM A TRUST MAY BE GUILTY OF A FELONY UNDER ALABAMA LAW AND SUBJECT TO RESTITUTION, FINES, LOSS OF ANY OR ALL CERTIFICATES OF AUTHORITY OR OTHER APPLICABLE LICENSES PRISON. OR ANY COMBINATION THEREOF

DEPOSITS TO TRUST, OR KNOWINGLY WITHDRAWS UNAUTHORIZED FUNDS OR ASSETS FROM A TRUST MAY BE GUILTY OF A FELONY UNDER							
ALABAMA LAW AND SUBJECT TO RESTITUTION, FINES, LOSS OF ANY OR ALL CERTIFICATES OF AUTHORITY OR OTHER APPLICABLE LICENSES,							
PRISON, OR ANY COMBINATION THEREOF.							
NAME OF AUTHORIZED REPRESENTATIVE OF THE CERTIFICATE OF AUTHORITY BEING TRANSFERRED (SELLER):							
SIGNATURE OF AUTHORIZED REPRESENTATIVE OF THE CERTIFICATE OF AUTHORITY BEING TRANSFERRED (SELLER):							
DATE OF SIGNATURE:							
NAME OF AUTHORIZED REPRESENTATIVE OF THE PURCHASER OF THE CEP	TIFICATE OF AUTHORITY BEIN	IG TRANSFERRED (PURCHASER):					
SIGNATURE OF AUTHORIZED REPRESENTATIVE OF THE PURCHASER OF TH	E CEDTIEICATE OF AUTHODITY	V DEINC TO ANCEEDED					
signature of authorized representative of the purchaser of the (PURCHASER):	E CERTIFICATE OF AUTHORIT	I BEING TRANSFERRED					
(1 OKCIMSEK).							
DATE OF SIGNATURE:							
SIGNATURE OF ALABAMA BOARD OF FUNERAL SERVICES EXECUTIVE DIREC	CTOR: DATE	E TRANSFER APPROVED:					

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Revised 10/2024