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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 AUTHORITY TO BE TRANSFERRED (SELLER):	
D/B/A NAME (if applicable):	
MAILING ADDRESS:	
PHYSICAL ADDRESS (if different from mailing address):	
CERTIFICATE OF AUTHORITY'S E-MAIL ADDRESS:	CERTIFICATE OF AUTHORITY'S TELEPHONE NUMBER:
FUNERAL ESTABLISHMENT LICENSE NUMBER (if applicable):	FEDERAL EMPLOYER IDENTIFICATION NUMBER:
CERTIFICATE OF AUTHORITY'S FISCAL YEAR END DATE:	CERTIFICATE OF AUTHORITY LICENSE NUMBER:
TYPE OF BUSINESS ENTITY (check the appropriate box):	
<input type="checkbox"/> Funeral Establishment <input type="checkbox"/> Cemetery Authority <input type="checkbox"/> Combination Funeral and Cemetery <input type="checkbox"/> Third-Party Seller	
TYPE OF ORGANIZATION (check the appropriate box):	
<input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> Partnership <input type="checkbox"/> LLC <input type="checkbox"/> LLP <input type="checkbox"/> C Corp <input type="checkbox"/> S Corp	
TYPE OF FUNDING FOR PRENEED CONTRACTS (Check all that apply):	
<input type="checkbox"/> Trust <input type="checkbox"/> Insurance <input type="checkbox"/> Letter of Credit <input type="checkbox"/> Surety Bond	
<p>IF PRENEED CONTRACTS ARE FUNDED WITH A SURETY BOND OR LETTER OF CREDIT, EACH PRENEED CONTRACT MUST BE CHANGED TO TRUST FUNDED OR INSURANCE FUNDED PRIOR TO CHANGE OF OWNERSHIP OF CERTIFICATE OF AUTHORITY. AN ACCOUNT OF EACH PRENEED CONTRACT ALONG WITH CONTRACT TOTAL AMOUNTS SHOULD BE ATTACHED WITH THIS APPLICATION AND PROOF OF THE CONTRACTS BEING TRUST FUNDED OR INSURANCE FUNDED MUST ALSO BE ATTACHED WITH THIS APPLICATION.</p>	
ARE THERE ANY BRANCH REGISTRANTS REGISTERED UNDER THE CERTIFICATE OF AUTHORITY BEING TRANSFERRED?	IF YES, SUBMIT A TRANSFER APPLICATION OR SURRENDER APPLICATION FOR EACH BRANCH REGISTRANT REGISTERED UNDER THE CERTIFICATE OF AUTHORITY.
<input type="checkbox"/> Yes <input type="checkbox"/> No	
ARE THERE ANY OTHER LOCATIONS OPERATING UNDER A COMMON BUSINESS NAME?	IF YES, ON A SEPARATE PAGE, LIST THE ADDRESS FOR EACH LOCATION OPERATING UNDER THE SAME BUSINESS NAME.
<input type="checkbox"/> Yes <input type="checkbox"/> No	

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, AND THE BOARD WILL NOTIFY 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.

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 CERTIFICATE OF AUTHORITY BEING TRANSFERRED (PURCHASER):

SIGNATURE OF AUTHORIZED REPRESENTATIVE OF THE PURCHASER OF THE CERTIFICATE OF AUTHORITY BEING TRANSFERRED (PURCHASER):

DATE OF SIGNATURE:

SIGNATURE OF ALABAMA BOARD OF FUNERAL SERVICES EXECUTIVE DIRECTOR:

DATE TRANSFER APPROVED: