



DEPARTMENT OF  
INSURANCE AND FINANCIAL INSTITUTIONS

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**HEALTH, MEDICAL, DENTAL, OPTOMETRIC SERVICE CORPORATIONS UCAA PRIMARY APPLICATION  
SUPPLEMENT**

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In addition to the NAIC's UCAA Primary Application [http://www.naic.org/industry\\_ucaa.htm](http://www.naic.org/industry_ucaa.htm), review Arizona Revised Statutes, Title 20, Chapter 4, Article 3 and the Arizona Administrative Code, Title 20, Chapter 6, Article 4, Section R20-6-409, and provide the following:

1. Copies of proposed contracts between the applicant and participating hospitals, physicians, dentists or optometrists showing the terms under which services is to be furnished to subscribers. ARS § 20-824.3.
2. Copies of proposed contracts to be issued to subscribers. ARS § 20-824.4.
3. A table of rates to be charged to subscribers. ARS § 20-824.5.
4. A statement of the area in which the corporation proposes to operate. ARS § 20-824.7.
5. A check in the amount of \$150.00 (Bylaws \$75.00, Certificate of Authority \$75.00) made payable to the *Arizona Department of Insurance and Financial Institutions*. ARS § 20-824.
6. A check in the amount of \$100.00 made payable to the *Arizona Insurance Examiners' Revolving Fund*.
7. Health, medical, dental, optometric service corporations shall at all times maintain on deposit with the Arizona State Treasurer through the Director's office cash or securities eligible for the investment of capital funds of domestic insurers under this title, or other financial security approved by the Director, in an amount of not less than two hundred thousand dollars. The deposit shall be held by the Arizona State Treasurer in trust for the benefit and protection of the subscribers of the corporation. ARS § 20-828. See the Custodial Bank Deposit New Account Packet for information and instructions.
8. A completed **NAIC Company Code Application**. This Department will forward the Company Code Application to the NAIC for the company.
9. A copy of the Stockholder Register.
10. A financial statement of the corporation, including the amounts of contributions paid or agreed to be paid to the corporation for working capital, and the name or names of each contributor and the terms of each contribution. ARS § 20-824.6.
11. The source, nature and amount of funds or other considerations used or to be used in effecting the acquisition of the company's capital stock. If any funds are borrowed, submit copies of notes and all agreements relating to the transaction.
12. A copy of the executed Surplus Note or Contribution Agreement if surplus is borrowed.
13. A description and copy of any lease, lease/purchase commitment and/or contract that encumbers assets or incurs liabilities.
14. A Confirmation Form **BNKCONFAD**. Reproduce as many of the confirmation forms necessary for your Company to complete one Confirmation Form for each account (i.e. checking, savings, trust deposit, money market, etc.). Be sure to provide the correct name and address for each financial institution. Do not provide any balance amount(s) as that information will be provided by the financial institution. It is very important that you provide an account number and sign the Confirmation Form authorizing the financial institution to release the information to the Arizona Department of Insurance and Financial Institutions. Providing complete and accurate information helps expedite this process and minimize delays.

Send the completed and signed confirmation forms to your financial institutions along with instructions to email the completed confirmation forms to [cary.cook@difi.az.gov](mailto:cary.cook@difi.az.gov).

Mail the checks along with a cover letter to:

Insurance Financial Affairs Division  
Arizona Department of Insurance and Financial Institutions  
100 N. 15th Ave., Suite 261  
Phoenix, Arizona 85007-2630

Health, medical, dental, optometric service corporations each year shall deposit with the Arizona State Treasurer, not later than February 1, an amount equal to two per cent of the gross subscriptions collected during the preceding calendar year, until the deposit of the corporation reaches a total of five hundred thousand dollars. ARS § 20-828.B.

The Department may utilize the services of financial analysts and/or examiners to assist in its review. A statement for services rendered may be forthcoming and is payable as these services are performed.