

TPA Registration Application Checklist

Type of Application		<input type="checkbox"/> New <input type="checkbox"/> Renewal			
Name of TPA					AZ #
DBA Name of TPA, if applicable					
Name of analyst			Date application received	Date review completed	
Application Decision		<input type="checkbox"/> Approve <input type="checkbox"/> Deny (reason for denial):			
Decided by:			Decision date:	Communication date:	
	Requirement	Statute	N/A	Meets	Fails
1	\$195 fee	20-485.12.B			
2	Application Form E-100	20-485.12.B			
a.	SECTION A: Applicant is organized in good standing with the appropriate government agency	20-485.12.B.2 20-485.12.F			
b.	ALL: Every question on the application is answered	20-485.12.B.7 20-485.12.B.10			
c.	SECTION F: The affidavit/attestation is complete and is signed by officer(s) of the applicant.	20-485.12.B.10			
d.	SECTION C, Item 6: Arizona monies, to be handled in the next/were handled during preceding, calendar year	20-485.12.B.1.a	\$		
e.	SECTION D, Items 1 or 3: If YES, explanation and documentation enclosed				
f.	SECTION E, Item 3: If NO, enter N/A. If YES, applicant provided Form E-100-A (Yes or No) and all are complete.	20-485.12.B.6			
g.	SECTION E, Item 9: If NO, enter Meets. If YES, enter Fails.				
h.	SECTION E, Items 10/11: If NO, enter N/A. If either are YES, applicant provided complete holding company system chart (Yes or No).	20-485.B.3			
i.	SECTION E, Item 13: Number of biographical affidavits provided match the reported count	20-485.12.B.5			
j.	Each biographical affidavit is fully completed, and information is consistent with NAIC RIRS/SAD and other information sources.				
k.	For each biographical affidavit with a YES answer to a background question (NAIC Form 11, Item 11), application includes a copy of the complaint and the filed adjudication/settlement for each matter.				

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	Requirement	Statute	N/A	Meets	Fails
3	Financial information for a period ending within 90 days of the application submission date and/or calendar year end	20-485.12.B.1			
a.	Financial statements have been certified by officer(s) of the applicant				
b.	Applicant provided non-consolidated GAAP income statements for the two preceding years				
c.	Net Income – Current Income Statement <input type="checkbox"/> = SECTION C, Item 1		\$		
d.	Applicant provided non-consolidated GAAP balance sheets for the two preceding years				
e.	Current Assets – Current Balance Sheet <input type="checkbox"/> = SECTION C, Item 2		\$		
f.	Current Liabilities – Current Balance Sheet <input type="checkbox"/> = SECTION C, Item 3		\$		
g.	Working Capital – Current Balance Sheet <input type="checkbox"/> = SECTION C, Item 4		\$		
h.	Owner’s Equity – Current Balance Sheet <input type="checkbox"/> = SECTION C, Item 5		\$		
i.	If the net income, working capital or owner/stockholder equity is negative, applicant included mitigation explanation				
4	Trust deposit by <input type="checkbox"/> Certificate of Deposit <input type="checkbox"/> Marketable securities <input type="checkbox"/> Surety bond				
a.	Greater of 10% of SECTION C, Item 6 or \$5,000 <input type="checkbox"/> = SECTION E, Item 2	20-485.10	\$		
b.	Amount of trust deposit (must be at least Line 4a)		\$		
c.	For a surety bond (may include individual bonds or schedule or blanket forms of bonds):	NAIC# _____ of AZ-authorized insurer <input type="checkbox"/> Yes <input type="checkbox"/> No Form 157 <input type="checkbox"/> Yes <input type="checkbox"/> No Attorney-in-Fact			
d.	For a certificate of deposit:	<input type="checkbox"/> Yes <input type="checkbox"/> No Form E125CD <input type="checkbox"/> Yes <input type="checkbox"/> No Two E150s forms <input type="checkbox"/> Yes <input type="checkbox"/> No Original CD			
e.	For a marketable security:	<input type="checkbox"/> Yes <input type="checkbox"/> No Custody Agreement <input type="checkbox"/> Yes <input type="checkbox"/> No Form E125			
5	The details about the applicant’s capacity to collect premiums or administer claims on behalf of the insurer in this state have been provided	20-485.12.B.8			
6	Basic organization documents and amendments , including articles of incorporation, articles of association, partnership agreement, trade name certificate	20-485.12.B.2			
7	The bylaws, rules, regulations or similar documents	20-485.12.B.4			
8	The written notice that the TPA will provide to insured individuals providing the TPA's identity and the relationship between the TPA and the insurer	20-485.B.12.9			