



## SOLICITATION PERMIT APPLICATION/CHECKLIST

pursuant to [18 Del. C. § 4705](#) the following items are required.

**Application items must be clearly marked with the corresponding # from the checklist.**

Failure to submit all items as requested will result in the application being denied.

1.  The **name, type and purpose** of the insurer, corporation, syndicate, association, firm or organization formed or proposed to be formed or financed;
2.  The name, residential address, business background and qualifications **of each person** associated or to be associated in the enterprise or in the formation of the proposed insurer, corporation, syndicate, association, firm or organization or in the proposed financing;
3.  Full disclosure of the terms of understandings and agreements existing or proposed among persons so associated or to be associated:
  - A copy of each such agreement relating to the proposed financing or insurer, corporation, syndicate, association, firm or organization or the formation thereof;
4.  The plan according to which solicitations are to be made;
5.  A copy of any security, receipt or certificate proposed to be issued and a copy of any proposed application or subscription agreement;
6.  A copy of any prospectus, offering circular, advertising or sales literature or material proposed to be used;
7.  A copy of the proposed form of any escrow agreement required;

8.  Irrevocable appointment of the Commissioner as process agent to receive service of process issued in this State and arising out of any transaction under the permit, if issued. The Commissioner shall prescribe and furnish the form of such appointment; Uniform Consent to Service of Process – [Form D1](#)
  
9.  A copy of the certificate of incorporation or charter of the insurer or proposed insurer or of any other corporation proposing to offer its securities, certified by the public official having custody of the original thereof, **and** a copy of any syndicate, association, firm, organization or other similar agreement by whatever name called if funds for any of the purposes referred to in [§ 4702](#) of this title are to be secured through the sale of any security, interest or right in or relative to such syndicate, association, firm or organization, **and**, if the insurer is or is to be a reciprocal insurer, a copy of the power of attorney and of other agreements existing or proposed affecting subscribers, investors, the attorney-in-fact or the insurer; and
  
10.  Such additional pertinent information as the Commissioner may reasonably require (Department will notify applicant if additional information is required)
  
11.  The application shall be accompanied by deposit of the fees required under [18 Del. C. § 701 \(13\)\(a\)](#) of this title for the filing of the application and for issuance of the permit, if granted.

Solicitation Permit applications are accepted electronically or in hard copy per below.

**A cover letter is required with both submission types.**

Application is not considered received until all items are received

**Mail hard copy submissions to:**

Delaware Department of Insurance- Attn. BERG  
1351 West North Street, Suite 101  
Dover, DE 19904-2465

**Electronic submission in PDF format and bookmarked to correspond with above item #'s to:**

- [BERG@delaware.gov](mailto:BERG@delaware.gov)
- Application Fee is only accepted via check (with Cover Letter) at address above

Feel free to contact 302-674-7330 or [BERG@delaware.gov](mailto:BERG@delaware.gov) with any questions.