



**Delaware/Home State - TPA Checklist ([Reg. 1406](#))**  
**Domestic License**

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<input type="checkbox"/>	1. Template/draft of written agreement between the TPA (Administrator) and the Insurer.
<input type="checkbox"/>	2. Documentary evidence of a fiduciary account for deposit of charges and premiums collected by the Administrator on behalf of the insurer and return of premiums. ( <a href="#">Reg. 1406, 8.1</a> )
<input type="checkbox"/>	3. A copy of the Uniform Application used to apply in Delaware as an Administrator. ( <a href="#">Reg. 1406, 12.1</a> ), contact the NAIC library.
<input type="checkbox"/>	4. Certified copies of the administrators Articles of Incorporation, Articles of Association, partnership agreement, trade name certificate, trust agreement, shareholder agreement and any other applicable documents and associated amendments. ( <a href="#">Reg. 1406, 12.2.1</a> )
<input type="checkbox"/>	5. Administrator by-laws, rules, regulations or similar documents regulating the internal affairs of the applicant. ( <a href="#">Reg. 1406, 12.2.2</a> )
<input type="checkbox"/>	6. NAIC biographical affidavits of the Administrator's board of directors, board of trustees, executive committee, or other governing board or committee. Its principal officers or partners or members if a partnership, association or limited liability company and/or any shareholder or member holding directly or indirectly 10% or more of the voting stock, voting securities, or voting interests of the Administrator, and any other person who exercises control or influence over the affairs of the applicant Administrator. ( <a href="#">Reg. 1406, 12.2.3</a> )
<input type="checkbox"/>	7. Audited Annual Financial Statements for the two (2) most recent fiscal years, that demonstrate the administrator has positive net worth. If Administrator has been in existence for less than two (2) years, financial statements or reports certified by an officer prepared in accordance with GAAP for any completed fiscal year and any month during the current fiscal year for which such financial statements or reports have been completed. An audited financial statement prepared on a consolidated basis with a columnar consolidating or combining worksheet may be used by the applicant. ( <a href="#">Reg. 1406, 12.2.4</a> )
<input type="checkbox"/>	8. A business plan including information on staffing levels and activities prepared in this state and nationwide. The plan should address the applicants proposed staffing levels for claims processing, record maintenance and underwriting. ( <a href="#">Reg. 1406, 12.2.5</a> )
<input type="checkbox"/>	9. If the TPA's State of Incorporation or principal place of business does not have regulations pertaining to Third Party Administrators, the Administrator is required to file as a Delaware domestic.
<input type="checkbox"/>	10. <a href="#">UCAA Form 12</a> (Uniform Consent to Service of Process)
<input type="checkbox"/>	11. Such other pertinent information as may be required by the Commissioner. ( <a href="#">Reg. 1406, 12.2.6</a> )
<input type="checkbox"/>	12. <b>If</b> the Administrator's plan pertains to less than 100 lives the Administrator is exempt from Regulation 1406. Administrator must file an affidavit indicating it represents 100 or less lives. If TPA changes number of lives above 100, they must notify the Department and compete the application for a licensed TPA.
<input type="checkbox"/>	13. Pursuant to <a href="#">1406, 17.1</a> remittance of \$500 application fee made payable to the Delaware Department of Insurance. If approved, a \$100.00 invoice will be sent for the issuance of the certificate of authority fee.