

CHAPTER 14 - ADMISSION REQUIREMENTS

SECTION .0100 - GENERAL PROVISIONS

11 NCAC 14 .0101	PURPOSE OF DIVISION
11 NCAC 14 .0102	DEPUTY COMMISSIONER
11 NCAC 14 .0103	DIVISION PERSONNEL

History Note: Authority G.S. 58-4; 58-7.3; 58-9;
Eff. February 1, 1976;
Readopted Eff. January 22, 1980;
Repealed Eff. July 1, 1988.

SECTION .0200 - FORMATION OF DOMESTIC INSURANCE COMPANY

11 NCAC 14 .0201	INFORMATION REQUIRED DURING PRE-INCORPORATION
11 NCAC 14 .0202	INFORMATION REQUIRED AFTER ORGANIZATIONAL MEETING
11 NCAC 14 .0203	INITIAL CAPITALIZATION

History Note: Authority G.S. 58-2-40; 58-2-165; 58-5-30; 58-7-35; 58-7-37; 58-7-40; 58-7-75; 58-7-80; 58-16-30;
Eff. February 1, 1976;
Readopted with Change Eff. January 22, 1980 (.0201, .0202);
Readopted Eff. January 22, 1980 (.0203);
Amended Eff. July 1, 2004; February 1, 1996; April 1, 1990;
Pursuant to G.S. 150B-21.3A, rules Expired January 1, 2015.

11 NCAC 14 .0204	APPLICATION FORMS: FOREIGN INSURANCE COMPANIES
11 NCAC 14 .0205	ANNUAL STATEMENTS: REPORTS: FOREIGN COMPANIES
11 NCAC 14 .0206	AUTHORIZED LINES OF BUSINESS FOR A FOREIGN COMPANY
11 NCAC 14 .0207	FOREIGN COMPANY MUST HAVE CONDUCTED SUCCESSFUL BUSINESS
11 NCAC 14 .0208	WAIVER OF THREE-YEAR OPERATIONS GAIN REQUIREMENT
11 NCAC 14 .0209	EXCEPTION TO IN FORCE POLICY REQUIREMENTS: FOREIGN CO.

History Note: Authority G.S. 58-150; 58-150(1); 58-151(2); 58-151.1;
Eff. February 1, 1976;
Readopted Eff. January 22, 1980;
Repealed Eff. April 1, 1990.

SECTION .0300 - HEALTH MAINTENANCE ORGANIZATIONS

11 NCAC 14 .0301	FEASIBILITY STUDY AND MARKET SURVEY: HMO
11 NCAC 14 .0302	CERTIFICATE OF AUTHORITY: HMO
11 NCAC 14 .0303	FINANCIAL CERTIFICATION: HMO
11 NCAC 14 .0304	RE-INSURANCE REQUIREMENTS: HMO
11 NCAC 14 .0305	ISSUANCE OF CERTIFICATE OF AUTHORITY: HMO
11 NCAC 14 .0306	FOREIGN HMO: SUCCESSFUL OPERATION
11 NCAC 14 .0307	DEPOSIT REQUIREMENTS: HMO

History Note: Legislative Objection Lodged Eff. June 16, 1980;
Statutory Authority G.S. 57A-3; 57A-3(c)(9); 57A-3(c)(10); 57A-4; 57A-4(b)(3); 57A-8(b)(2);
57B-4; 57B-6; 57B-17; 57B-18; 58-150(2);
Eff. January 22, 1980;
Amended Eff. August 25, 1980;
Repealed Eff. April 1, 1993.

11 NCAC 14 .0308 ADMITTED ASSETS: HMO

History Note: Filed as a Temporary Adoption Eff. December 18, 1990, For a Period of 180 Days to Expire on June 15, 1991;
Statutory Authority G.S. 58-2-40(1); 58-67-20; 58-67-110(b);
Eff. May 1, 1991;
Repealed Eff. April 1, 1993.

SECTION .0400 - DESCRIPTION OF FORMS

11 NCAC 14 .0401 PETITION FOR ADMISSION
11 NCAC 14 .0402 POWER OF ATTORNEY FOR SERVICE OF LEGAL PROCESS
11 NCAC 14 .0403 POWER OF ATTORNEY FOR SALE OF SECURITIES
11 NCAC 14 .0404 APPLICATION FOR LICENSE: INSURANCE COMPANY
11 NCAC 14 .0405 APPLICATION FOR LICENSE: MEDICAL SERVICE CORPORATION
11 NCAC 14 .0406 APPLICATION FOR LICENSE: DENTAL SERVICE CORPORATION
11 NCAC 14 .0407 APPLICATION FOR LICENSE: FRATERNAL ORDER
11 NCAC 14 .0408 APPLICATION FOR LICENSE: HMO

History Note: Authority G.S. 57A-3; 57A-4; 57A-18; 58-63; 58-63(1); 58-66; 58-72; 58-150;
58-150(3); 58-153; 58-182.5; 105-228.4(a);
Eff. January 22, 1980;
Repealed Eff. July 1, 1988.

11 NCAC 14 .0409 BIOGRAPHICAL AFFIDAVIT

History Note: Authority G.S. 58-7-35; 58-7-40; 58-16-5;
Eff. January 22, 1980;
Amended Eff. April 1, 1990;
Pursuant to G.S. 150B-21.3A, rule Expired January 1, 2015.

11 NCAC 14 .0410 INSURANCE COMPANY LICENSE

History Note: Authority G.S. 58-72; 105-228.4;
Eff. January 22, 1980;
Repealed Eff. July 1, 1988.

11 NCAC 14 .0411 CERTIFICATE OF AUTHORITY: HMO
11 NCAC 14 .0412 INFORMATION SHEET: FORMATION OF DOMESTIC COMPANY

History Note: Authority G.S. 57A-3; 57A-4; 58-73; 58-77;
Eff. January 22, 1980;
Repealed Eff. April 1, 1990.

11 NCAC 14 .0413 ADMISSION DATA GUIDELINES
11 NCAC 14 .0414 CHECK SHEET AND ANALYSIS OF APPLICATION FOR ADMISSION

History Note: Authority G.S. 58-6-5; 58-7-45; 58-7-75; 58-7-80; 58-16-5;
Eff. January 22, 1980;
Amended Eff. April 1, 1990;
Repealed Eff. July 1, 2012.

11 NCAC 14 .0415 PETITION FOR ADMISSION

History Note: Authority G.S. 58-16-5(2);
Eff. April 1, 1990;
Repealed Eff. March 1, 2004.

11 NCAC 14 .0416 POWER OF ATTORNEY FOR SERVICE OF LEGAL PROCESS
11 NCAC 14 .0417 POWER OF ATTORNEY FOR SALE OF SECURITIES

History Note: Authority G.S. 58-2-40; 58-5-30; 58-16-5(10); 58-16-30;
Eff. April 1, 1990;
Amended Eff. July 1, 2004;
Pursuant to G.S. 150B-21.3A, rules Expired January 1, 2015.

11 NCAC 14 .0418 STANDARD QUESTIONS FOR APPLICANT INSURANCE CO.
11 NCAC 14 .0419 MARKETING QUESTIONS FOR APPLICANT LIFE INSURANCE CO.
11 NCAC 14 .0420 MARKETING QUESTIONS FOR APPLICANT FIRE/CASUALTY INSURANCE CO.
11 NCAC 14 .0421 UNCONDITIONAL GUARANTY
11 NCAC 14 .0422 CORPORATE RESOLUTION OF GUARANTOR
11 NCAC 14 .0423 ELIGIBILITY REQUIREMENTS FOR SURPLUS LINES INSURANCE CO.
11 NCAC 14 .0424 FILING REQUIREMENTS FOR SURPLUS LINES INSURANCE CO.
11 NCAC 14 .0425 BULLETIN 87-L-7
11 NCAC 14 .0426 BULLETIN 87-L-6

History Note: Authority G.S. 58-2-40; 58-16-5; 58-21-20; 58-22-45(a); 58-40-30; 58-41-50;
Eff. April 1, 1990;
Repealed Eff. July 1, 2012.

11 NCAC 14 .0427 APPLICATION FOR REGISTRATION AS A PURCHASING GROUP
11 NCAC 14 .0428 APPL. FOR REG. AS A FOREIGN LIABILITY RISK RETENTION GROUP
11 NCAC 14 .0429 RISK RETENTION GROUP PLAN OF OPERATION

History Note: Authority G.S. 58-22-20(1)a.; 58-22-20(1)b.; 58-22-40;
Eff. April 1, 1990;
Pursuant to G.S. 150B-21.3A, rules Expired January 1, 2015.

11 NCAC 14 .0430 ANNUAL GROSS PREMIUM TAX RETURN FOR PURCHASING GROUPS
11 NCAC 14 .0431 ANNUAL GROSS PREMIUM TAX RETURN FOR RISK RETENTION GROUPS

History Note: Authority G.S. 58-22-20(3); 58-22-35(b);
Eff. April 1, 1990;
Repealed Eff. February 1, 1996.

11 NCAC 14 .0432 APPLICATION FOR LICENSE: INSURANCE COMPANY

History Note: Authority G.S. 58-2-40; 58-7-40; 58-16-5;
Eff. February 1, 1996;
Repealed Eff. July 1, 2012.

SECTION .0500 - ADMISSION OF A FOREIGN OR ALIEN INSURANCE COMPANY

11 NCAC 14 .0501 APPLICATION FORMS

History Note: Authority G.S. 58-2-40; 58-16-5;
Eff. April 1, 1990;
Amended Eff. July 1, 2004;
Repealed Eff. July 1, 2012.

11 NCAC 14 .0502 ANNUAL STATEMENTS, REPORTS ON EXAMINATION
11 NCAC 14 .0503 AUTHORIZED LINES OF BUSINESS FOR A FOREIGN COMPANY

History Note: Authority G.S. 58-2-40; 58-2-165; 58-16-5(1); 58-16-5(2);
Eff. April 1, 1990;
Amended Eff. July 1, 2004; April 1, 1993;
Pursuant to G.S. 150B-21.3A, rules Expired January 1, 2015.

11 NCAC 14 .0504 FOREIGN COMPANY MUST HAVE CONDUCTED SUCCESSFUL BUSINESS
11 NCAC 14 .0505 WAIVERS OF THREE-YEAR NET INCOME REQUIREMENT

History Note: Authority G.S. 58-2-40; 58-16-5(2);
Eff. April 1, 1990;
Amended Eff. July 1, 2004; April 1, 1993;
Repealed Eff. February 1, 2010.

11 NCAC 14 .0506 EXCEPTION TO IN FORCE POLICY REQUIREMENTS

History Note: Authority G.S. 58-16-15;
Eff. April 1, 1990;
Pursuant to G.S. 150B-21.3A, rule Expired January 1, 2015.

SECTION .0600 - SURPLUS LINES

11 NCAC 14 .0601 LIST OF ELIGIBLE COMPANIES
11 NCAC 14 .0602 REQUESTS FOR SURPLUS LINES ELIGIBILITY
11 NCAC 14 .0603 FINANCIAL INFORMATION REQUIRED
11 NCAC 14 .0604 REQUIREMENTS FOR CONTINUED ELIGIBILITY
11 NCAC 14 .0605 DELETION FROM ELIGIBLE COMPANY LIST

History Note: Authority G.S. 58-2-40; 58-2-165; 58-21-5; 58-21-20; 58-21-20(a); 58-21-20(b); 58-21-30;
Eff. April 1, 1990;
Amended Eff. July 1, 2004; February 1, 1996; April 1, 1993;
Pursuant to G.S. 150B-21.3A, rules Expired January 1, 2015.

SECTION .0700 - FEDERAL RISK RETENTION ACT ENTITIES

11 NCAC 14 .0701 FOREIGN RISK RETENTION GROUP REGISTRATION
11 NCAC 14 .0702 PURCHASING GROUP FILING REQUIREMENTS
11 NCAC 14 .0703 APPOINTMENT OF COMMISSIONER AS ATTORNEY TO ACCEPT SERVICE
11 NCAC 14 .0704 UPDATES AND AMENDMENTS TO FILINGS

History Note: Authority G.S. 58-2-40; 58-22-20; 58-22-20(1)d; 58-22-40; 58-22-40(c); 58-22-45; 58-22-70;
Eff. April 1, 1990;
Amended Eff. July 1, 2004;
Pursuant to G.S. 150B-21.3A, rules Expired January 1, 2015.

11 NCAC 14 .0705 FILING AND PAYMENT OF PREMIUM TAXES

History Note: Authority G.S. 58-22-20; 58-22-35;
Eff. April 1, 1990;
Repealed Eff. March 1, 2004.