

Requirements for Application for Certificate of Authority for a Third Party Administrator

1. Complete the application on the Department's online portal. No signatures are required but it does require the attestation of two officers of the company as the accuracy of the information submitted.
2. You will need to provide the following information:
 - a. Name and address of applicant
 - b. Federal ID number of applicant
 - c. State of domicile
 - d. Date of Incorporation
 - e. Contact name, phone number, and email
 - f. What states the TPA is currently licensed in
 - g. If the applicant has a fiduciary account, the financial institutions name, address, contact, and balance
3. You will need to upload the following information:
 - a. Organization documents such as articles of incorporation or charter, partnership agreement, etc.
 - b. Bylaws of the organization
 - c. The most recent two years financial statement certified by two principal officers. This should be for the applicant; however, if applicant has a parent company, please provide parent financials as well
 - d. A plan of operation which includes information on staffing levels and activities proposed in this state and nationwide. The plan shall provide details setting forth the applicant's capability for providing a sufficient number of experienced and qualified personnel
 - e. If the applicant will be managing the solicitation of new or renewal business, proof that it employs or has contracted with an agent licensed in this state for solicitation and taking applications. Any applicant that intends to directly solicit insurance contracts or to otherwise act as an insurance agent shall provide proof that it has a license as an insurance agent in this state

f. A statement of the duties of the TPA is intending to perform on behalf of the insurer and the lines, classes, or types of insurance the TPA will be administering. For each plan and carriers (insurance companies), include with the above description of duties, the number of plans serviced in each category:

- Fully Insured
- Partially self-insured
- Fully self-insured
- Multiple Employer Welfare Arrangements ○ Full insured ○ Self-funded
- Taft Hartley Plans
- Cafeteria (Section 125) Plans

4. An application fee of \$200.00 which is payable when the application is submitted.