TITLE 365. INSURANCE DEPARTMENT
CHAPTER 1. ADMINISTRATIVE OPERATIONS

SUBCHAPTER 9. DESCRIPTION OF FORMS AND INSTRUCTIONS

365:1-9-1. Company licensure forms

(a) **License of authority form.** The license of authority form, executed under the hand and seal of the Insurance Commissioner and delivered, is evidence of an insurance company's authority to transact business within Oklahoma.

(b) **Annual statement form.** Annual statement forms must be filed by all admitted companies and postmarked on or before the first day of March of each year, reporting their business and financial condition as of December 31st of the preceding year. The completed forms must be subscribed and sworn to by the President, Secretary and other proper officers of the company. The Annual Statement is referred to as the "Convention Blank" and is in the general form and content approved by the National Association of Insurance Commissioners for the kinds of insurance to be reported.

(c) **Quarterly statement form.** Quarterly statement forms must be filed by all domestic insurers and postmarked on or before May 15th, August 14th and November 14th of each year, reporting their business and financial condition as of March 31st, June 30th, and September 30th respectively. The completed forms must be subscribed and sworn to by the President, Secretary, and other proper officers of the company.

(d) **Appointment of Insurance Commissioner as attorney for services of process form.** The appointment of Insurance Commissioner as attorney for service of process form for the State of Oklahoma must be filed by all licensed alien and foreign insurers, and shall continue in force so long as any liability remains outstanding in Oklahoma against the filing company, as required by 36 O.S. §621.

(e) **Agreement and application form.** The agreement and application form for Oklahoma License must be submitted by all companies desiring admission or renewal license within Oklahoma. A company agrees in its execution of such form to transact business, upon issuance of license, in accordance with the laws of Oklahoma, and to pay all fees and taxes as may at any time be imposed by law, as required by 36 O.S. § 311 and § 615 and Section 1, Article 19, Okl. Const.

(f) **Designation of agent form.** The designation of agent form, which lists the person to whom service of process is to be forwarded, must be filed by all companies. This designation is required by 36 O.S. §621.

(g) **Certificate of deposit form.** The certificate of deposit form, when executed by the Insurance Commissioner, certifies to the securities on deposit with the State of Oklahoma. All alien and foreign insurers must file a substantially similar form, executed by their domiciliary insurance department, upon making application for license in Oklahoma.

(h) **Certificate of compliance form.** The certificate of compliance form, when executed by the Insurance Commissioner, certifies that the company named therein has complied with all the requirements of the Oklahoma law and is authorized to transact business within Oklahoma. All alien and foreign insurers must file a substantially similar form, executed by their domiciliary insurance department, upon making application for license in Oklahoma.

(i) **Annual Oklahoma premium tax report.** The Oklahoma annual premium tax report, submitted with the Annual Statement filed with the Insurance Commissioner, reports Oklahoma tax on premium income of the filing insurer, and includes retaliatory tax and fire marshall tax calculations if applicable as well as a precalculated credit for Guaranty Association assessment.
(j) **Appointment of examiner form.** The appointment of examiner form is used by the Insurance Commissioner to appoint examiners to represent Oklahoma and/or Zone 3 of the National Association of Insurance Commissioners in the examination of an insurance company, which empowers the person so appointed to enter into the examination of the insurance company named therein.
(k) **Publication synopsis of the annual statement form.** Certain alien and foreign companies doing business in Oklahoma are required to publish a synopsis of their annual statement due to the retaliatory provisions of the Oklahoma law. When such publication is required, the publication synopsis of the annual statement form must be completed and returned to the Insurance Commissioner.

[**Source:** Amended at 10 Ok Reg 1457, eff 5-1-93; Amended at Ok Reg 3202, eff 7-13-98; Amended at 21 Ok Reg 1659, eff 7-14-04]

365:1-9-2. Deposit of securities forms
(a) **Deposit form.** The deposit form is used by all companies depositing securities with the Insurance Department to be held by the State Treasurer's Office. A description of the securities and value must be itemized on this form which must accompany securities being deposited when presented to the Insurance Commissioner for approval. After completion of transaction, a copy of this form is sent to said company for use to obtain release of deposited securities. Prior to the withdrawal of said securities, the deposit form must be executed by a company official authorized to make such withdrawals and presented to the Insurance Commissioner for approval.
(b) **Resolution form.** Each company having securities on deposit with the Insurance Department must adopt a resolution and file it with the Insurance Commissioner's Office, authorizing and empowering certain persons designated by said company to deal with the securities on deposit. Requests for exchange or withdrawal of deposited securities will not be honored unless made by designated persons.

[**Source:** Amended at 10 Ok Reg 1457, eff 5-1-93]

365:1-9-3. Firemen's Relief and Pension Plan forms
(a) **Exhibit of premiums form.** The exhibit of premiums form, attributable to certain lines of business, must be filed with, and as an exhibit to, the Annual Statement. The information reported on this form is used to compute allocations to the Firemen's Relief and Pension Plan, and to the Police Retirement and Pension System.
(b) **Report of net fire premiums collected form.** The report of net fire premiums collected form, in participating cities, must be filed with, and as an exhibit to, the Annual Statement. The information reported on this form is used to compute the allocation to cities participating in the Firemen's Relief and Pension Plan.

(c) **Annual pension fund report form.** The annual pension fund report form is used by each city participating in the Firemen's Relief and Pension Plan to report to the Insurance Commissioner the financial condition of its pension plan as of December 31st of each year, pursuant to 11 O.S. § 362, and must be submitted on or before January 15th of each year.
(d) **Annual fire department report form.** The annual fire department report form submitted to the Insurance Commission on or before the 15th of January of each year, certifies the existence of the fire department, the amount and type of equipment and the number of firemen, with their names, date of employment and date of expiration of term of service.

[**Source:** Amended at 10 Ok Reg 1457, eff 5-1-93]

365:1-9-4. Police and Retirement Pension System forms
(a) **Schedule of police salaries form.** The schedule of policy salaries form is used by participating cities to list positions and salaries of eligible members of the Police Department during the preceding calendar year. This information is used to compute the allocation to the participating cities, and must be filed on or before January 15th of each year.
(b) **Police annual report form.** The policy annual report form is used by each city participating in the Policy Retirement and Pension System to report to the Insurance Commissioner the financial condition of its police pension system as of December 31st of each year, and must be filed on or before January 15th of each year.

365:1-9-5. Surplus lines forms
(a) **Surplus lines broker quarterly summary form.** The surplus lines broker quarterly summary includes forms that detail the types of coverages written, the aggregate amount of insurance issued, the gross premiums charged, and the gross return premium. Form SL-3a must be signed by the broker with an original/live signature, notarized, and filed on or before the last day of the month following the close of a calendar quarter. The specific forms are:

(1) SL-3a Affidavit of a true and correct report. File in one-part.
(2) SL-3b Spreadsheet to accumulate premium and tax data by the company number and company name of the surplus line carrier. File in one-part only.
(3) SL-3c Affidavit of coverage. File in one-part.
(4) SL-3d Affidavit for return of premiums and the credit or refund of premium taxes.

(b) **Surplus lines direct placement by an insured summary form.** The direct placement by an insured summary includes forms that detail the types of coverages written, the aggregate amount of insurance issued, the gross premiums charged, the gross return premium, and the tax due. Form DSL-3a must be signed by the affiant, generally the individual responsible for procuring risk coverage, with an original signature, notarized and filed within thirty (30) days next succeeding the issuance of evidence of coverage. The specific forms are:

(1) DSL-3a Affidavit of a true and correct report. File in one-part.

(2) DSL-3b Spreadsheet to accumulate premium and tax data by the company number and company name of the surplus lines carrier. File in one part only.
(3) DSL-3c Affidavit of coverage. File in one-part.
(4) DSL-3d Affidavit for return of premiums and the credit or refund of premium taxes.

[**Source:** Amended at 10 Ok Reg 1457, eff 5-1-93; Amended at 24 Ok Reg 2204, eff 7-14-07; Amended at 27 Ok Reg 1530, eff 7-14-10]

365:1-9-6. Motor service clubs forms

(a) **Application for certificate of authority for motor service clubs form.** The application for certificate of authority for motor service clubs form gives the name, officers and location of the club; its term of operation and annual membership, and states who has been elected as service agent for the club.

(b) **Certificate of authority license form.** The certificate of authority license is issued by Insurance Commissioner to all motor service clubs which meet the legal requirements.

365:1-9-7. Agents licensing forms (Property and Casualty) [REVOKED]

[**Source:** Revoked at 10 Ok Reg 1457, eff 5-1-93]

365:1-9-8. Agents licensing forms (Life, Accident and Health) [REVOKED]

[**Source:** Revoked at 10 Ok Reg 1457, eff 5-1-93]

365:1-9-9. Non-resident agents licensing forms [REVOKED]

[**Source:** Revoked at 10 Ok Reg 1457, eff 5-1-93]

365:1-9-10. Agent appointment cancellation form [REVOKED]

[**Source:** Revoked at 10 Ok Reg 1457, eff 5-1-93]

365:1-9-11. Applications

Unless otherwise provided by electronic means by the Insurance Commissioner or an administrator approved by the Commissioner, the following applications must be completed by the person(s) making application and upon completion, must comply with the applicable Oklahoma statutes:

(1) NAIC Uniform Application for Individual Insurance Producer License.
(2) NAIC Uniform Application for Business Entity Application or NAIC Uniform Non-Resident Agency Application.
(3) Application for License as Third Party Administrator (TPA-1).
(4) Application for Corporate License as Third Party Administrator (TPA-2).
(5) Application for License as Insurance Adjuster (CR-1).
(6) Application for License as Insurance Consultant (IC-1).
(7) Application for License as Managing General Agent or Agency (MGA).

(8) Application for Resident Insurance Brokers License should be made using either the NAIC Uniform Application for Individual Insurance Producer License or NAIC Uniform Non-Resident Agency Application.
(9) Catastrophe Registration as Emergency Insurance Adjuster (EIA).
(10) Application for Customer Service Representative (IL-1)

[**Source:** Added at 10 Ok Reg 1457, eff 5-1-93; Amended at 15 Ok Reg 3204, eff 7-13-98; Amended at 24 Ok Reg 2204, eff 7-14-07; Amended at 28 Ok Reg 1956, eff 7-14-11]

365:1-9-12. Agent and customer service representative appointment forms
(a) **Company Appointment form (R-11).** The company appointment form is to be completed by an insurer appointing specific individuals as agents of the company and for renewal of agents' appointments.
(b) **Cancellation of Appointment form (CAA).** The cancellation of appointment form is to be used by an insurer when canceling the appointment of an agent or agents. This form is to be reproduced by the insurer in quantities sufficient for their needs.
(c) **Customer Service Representative Appointment form (CSR-1).** The customer service representative appointment form shall be completed by a licensed insurance producer appointing and employing a customer service representative.
(d) **Cancellation of Customer Service Representative Appointment form (NAN-1)_.** The cancellation of appointment form shall be utilized by a licensed producer to cancel the customer service representative's appointment and employment.

[**Source:** Added at 10 Ok Reg 1457, eff 5-1-93; Amended at 15 Ok Reg 3204, eff 7-13-98; Amended at 25 Ok Reg 1642, eff 7-14-2008]

365:1-9-12.1. Required appointments [REVOKED]

[**Source:** Added at 15 Ok Reg 3204, eff 7-13-98; Revoked at 24 Ok Reg 2204, eff 7-14-07]

365:1-9-12.2. Company background checks
All appointing companies shall conduct a background check to verify the trustworthiness, financial responsibility, competence, reputation and fitness of all appointed agents.

[**Source:** Added at 15 Ok Reg 3204, eff 7-13-98]

365:1-9-13. Suggested language for producers bonds
(a) **Insurance Bond.** The Insurance Bond form provides suggested language for preparing an insurance bond.
(b) **Insurance Brokers Bond.** The Insurance Brokers Bond form provides suggested language for preparing an insurance brokers bond.
(c) **Insurance Consultants Bond.** The Insurance Consultants Bond form provides suggested language for preparing an insurance consultants bond.

(d) **Non-Resident Agents License Bond.** The Non-Resident Agents License Bond form provides suggested language for preparing a non-resident agents insurance bond.
(e) **Public Adjusters Bond.** The Public Adjusters Bond form provides suggested language for preparing a public adjusters bond.
(f) **Third Party Administrators Bond.** The Third Party Administrators Bond form provides suggested language for preparing a third party administrators bond.

[**Source:** Added at 10 Ok Reg 1457, eff 5-1-93; Amended at 28 Ok Reg 1956, eff 7-14-11]

365:1-9-14. Producer and adjuster continuing education forms [REVOKED]

[**Source:** Added at 10 Ok Reg 1457, eff 5-1-93; Amended at 15 Ok Reg 3204, eff 7-13-98; Amended at 24 Ok Reg 2204, eff 7-14-07; Revoked at 28 Ok Reg 1956, eff 7-14-11]

365:1-9-15. Forms regarding agents examinations
(a) **Examination admission.** The examination authorization letter shall be sent out to applicants.
(b) **Pass/Fail Notice to Applicants.** After an applicant has taken an examination, the applicant receives a pass/fail notice indicating the outcome of the test taken.

[**Source:** Added at 10 Ok Reg 1457, eff 5-1-93; Amended at 15 Ok Reg 3204, eff 7-13-98; Amended at 19 Ok Reg 1292, eff 7-14-02]

365:1-9-15.1. License renewals and reinstatements
(a) **Proof of courses.** As a prerequisite for submission of a renewal or reinstatement application, when requested by the Insurance Commissioner, each licensee shall have completed the total number of continuing education hours required.
(b) **Required submissions for reinstatement.** After the license expires and within one year after the license expiration date, a licensee shall be eligible for reinstatement by completing required Continuing Education and submitting a new application and double the license fee. A licensee shall not be eligible for reinstatement if previously the license was revoked, suspended or continuance was denied.
(c) **Insurance adjusters.** This section shall also apply to insurance adjusters as defined by the Insurance Code.

[**Source:** Added at 15 Ok Reg 3204, eff 7-13-98; Amended at 10 Ok Reg 1292, eff 7-14-02; Amended at 21 Ok Reg 1659, eff 7-14-04; Amended at 22 Ok Reg 1953, eff 7-14-05; Amended at 24 Ok Reg 2204, eff 7-14-07; Amended at 28 Ok Reg 1956, eff 7-14-11]

365:1-9-16. Producer licensing forms
(a) **Licenses.** The license form is executed under the hand and seal of the Insurance Commissioner and delivered. This form is evidence of a producer's authority to transact business within Oklahoma.
(b) **Insurance Consultant License Certificate.** The Insurance Consultant License Certificate is executed under the hand and seal of the Insurance Commissioner and

delivered. This form is evidence of an individual's authority to act as an insurance consultant in the State of Oklahoma.
(c) **Life or Accident and Health Insurance Broker License Certificate.** The Life or Accident and Health Insurance Broker License Certificate is executed under the hand and seal of the Insurance Commissioner and delivered. This form is evidence of an individual's authority to act as an insurance broker in the State of Oklahoma.
(d) **Managing General Agent's License.** The Managing General Agent's License is executed under the hand and seal of the Insurance Commissioner and delivered. This form is evidence of an individual's authority to act as a managing general agent in the State of Oklahoma.
(e) **Temporary Insurance Producer's License.** The Temporary Insurance Producer's License is executed under the hand and seal of the Insurance Commissioner and delivered. This form is evidence of an individual's authority to act as a temporary insurance agent in the State of Oklahoma. The appointing company that requests the license may receive a temporary license after completion of a properly completed application and an affidavit as prescribed by the Insurance Commissioner. The temporary license shall be valid for up to one hundred eighty (180) days from the date of issuance, or until the applicant passes the license examination, whichever time is shorter.
(f) **Third Party Administrator License Certificate.** The Third Party Administrator License Certificate is executed under the hand and seal of the Insurance Commissioner and delivered. This form is evidence of an individual's authority to act as a third party administrator in the State of Oklahoma.
(g) **Renewal Notice.** The Producer Licensing Division of the Insurance Department may send a Renewal Notice to producers to remind them to comply with renewal requirements by either electronic or paper means.

[**Source:** Added at 10 Ok Reg 1457, eff 5-1-93; Amended at 15 Ok Reg 3204, eff 7-13-98; Amended at 28 Ok Reg 1956, eff 7-14-11]

365:1-9-17. Other agents forms
(a) **Letter of certification.** A letter of certification is provided to an agent at his/her request to provide license status for a non-resident license out of state.
(b) **Letter of clearance.** A letter of clearance is provided to an agent at his/her request to provide license status at the time of license cancellation.
(c) **Limited Power of Attorney.** The Limited Power of Attorney form is used for an individual to appoint and terminate agents.
(d) **Suggested Consulting Agreement for Use by Insurance Agents.** The Suggested Consulting Agreement for Use by Insurance Agents form provides suggested language for preparing an agent's consulting agreement.
(e) **TPA Plan Supplemental Information Sheet.** This form shall be submitted with each renewal and shall provide a summary of each plan administered.

[**Source:** Added at 10 Ok Reg 1457, eff 5-1-93; Amended at 15 Ok Reg 3204, eff 7-13-98]

365:1-9-17.1. Refund of fees

(a) Upon request by an applicant, the Insurance Commissioner may refund to the applicant all or a portion of any fees collected by the Commissioner pursuant to law, in accordance with this rule. Such fees may be refunded, if requested, prior to any official action being taken by the Commissioner or prior to the occurrence of the action for which the application was made.

(1) The request must be in written form and received in the office of the Commissioner within twenty days of the original submission.

(2) The Commissioner may consider the following factors in determining whether or not to grant a refund:

(A) whether an examination has been administered;

(B) whether a license has been printed;

(C) whether a legal file has been opened; or

(D) whether an analysis has been commenced.

(b) The Commissioner may retain a portion of the fee if it is determined that administrative costs were incurred by the Department.

(1) Administrative costs are always incurred when a file has been opened or the application is processed but not yet finalized.

(2) All fees twenty-five dollars and under will not be refunded under any circumstances. Fees over that amount may only be refunded up to fifty percent.

(3) No fee will be refunded without the express written consent of the Commissioner or an authorized representative.

[**Source:** Added at 15 Ok Reg 3204, eff 7-13-98]

365:1-9-17.2. Name change on an individual license

(a) Name changes for an individual license, excluding legal entities, require proper documentation at the time of the written request, such as a copy of a court order, marriage license or divorce decree.

(b) A duplicate license fee shall be submitted for a new licensed to be issued.

[**Source:** Added at 15 Ok Reg 3204, eff 7-13-98]

365:1-9-18. Bail bond forms

(a) **Application for bail bondsman license form.** The application for a bail bondsman's license form is to be completed by the person making application, and includes the license fee, a complete set of fingerprints, two recent credential-size full face photographs, an investigative fee and evidence of completion of twenty (20) hours of education. The fee for examination shall be submitted after approval of the application, but prior to taking the examination. The Commissioner may propose any reasonable interrogatories to an applicant for a license.

(b) **Bail bondsman license forms.** The bail bondsman license form, executed under the hand and seal of the Insurance Commissioner, upon execution and delivery, is evidence of an individual's authority to act as a bail bondsman within Oklahoma.

(c) **Bail bond appointment form.** The bail bond appointment form (BR-11) is to be completed by a surety/professional when appointing specific surety bondsmen as agents of the surety/professional and at the yearly renewal of surety/professional appointments.

(d) **Bail bond appointment cancellation form.** The notice of cancellation of bondsman surety/professional appointment form is to be used by a surety/professional when they desire to cancel the appointment of a surety bondsman.
(e) **Bail bond license status form.** The Bail Bond License Status form is completed by the Department and mailed to the appropriate court clerk for any status change pertaining to a licensed bondsman.
(f) **Professional bondsman securities deposit/withdrawal form.** The deposit/withdrawal form (State Form 31) is used for all professional bondsmen for depositing/withdrawing securities with the State Treasurer through the Insurance Commissioner's office.
(g) **Pledge of Account form.** The bondsman shall execute an assignment of the deposit to the Insurance Commissioner for the payment of unpaid bond forfeitures.
(h) **Acknowledgement of Notice form.** The Acknowledgement of Notice form is to be completed by the Financial Institution acknowledging receipt of a signed copy of the pledge of account on each professional deposit.

[**Source:** Added at 10 Ok Reg 1457, eff 5-1-93]

365:1-9-19. Request for Assistance and Prompt Pay Forms

The Request for Assistance Form and Prompt Pay Form are used by the Consumer Assistance and Claims Division to gather information regarding complaints and/or inquiries. This information is used to contact insurance companies and other persons and/or entities to seek resolutions to complaints and answers to inquiries. The Consumer Assistance and Claims Division will also accept letters requesting assistance in lieu of the Request for Assistance form.

[**Source:** Added at 10 Ok Reg 1457, eff 5-1-93; Amended at 21 Ok Reg 1659, eff 7-14-04]

365:1-9-20. Real Estate Appraiser forms

(a) **Application.** The application for Real Estate Appraiser licensure or certification is to be completed by the person making the application and when completed, contains all the information required by statute.
(b) **Registration for real estate appraiser temporary practice.** The registration for Real Estate Appraiser temporary practice is to be completed by the person requesting a temporary practice permit, and when completed, contains all information required by statute.
(c) **Oklahoma Temporary Practice Permit.** The Oklahoma Temporary Practice Permit, executed under the hand and seal of the Insurance Commissioner and the Real Estate Appraisal Board members, and delivered, is evidence of a Real Estate Appraiser's authority to conduct appraisals in Oklahoma on a temporary basis, not to exceed ninety (90) days.
(d) **Designation of agent form.** The designation of agent form lists the Secretary of State for service of process and must be filed by all Real Estate Appraisers.
(e) **License.** The Real Estate Appraiser License is executed under the hand and seal of the Insurance Commissioner and the Real Estate Appraiser Board members, and delivered, is evidence of a Real Estate Appraiser's authority to conduct appraisals in Oklahoma.

(f) **Certificate.** The Real Estate Appraiser Certificate is executed under the hand and seal of the Insurance Commissioner and the Real Estate Appraiser Board members, and delivered, is evidence of a Real Estate Appraiser's authority to conduct appraisals in Oklahoma.
(g) **Annual fee application.** The annual fee application for Real Estate Appraiser licensure or certification is to be completed by the person making the application annually, and when completed, contains all the information required by statute.
(h) **Real Estate Appraiser Board Request for Assistance form.** The Real Estate Appraiser Board Request for Assistance form is used to gather information regarding real estate appraiser complaints and/or inquiries. This information is used to contact the appraisers to seek resolutions to complaints and answers to inquiries. Letters requesting assistance in lieu of this form may also be accepted.

[**Source:** Added at 10 Ok Reg 1457, eff 5-1-93]

365:1-9-21. Utilization Review forms
(a) **Application.** The utilization review application is to be completed by the firm seeking a certificate of registration, should include all exhibits requested in the application, and when completed, contains all information required by statute.
(b) **Renewal application.** The utilization review renewal application is to be completed by firms previously issued a certificate of registration, and must be submitted to the Commissioner's office prior to the expiration of the certificate of registration. Along with the renewal application, the firm should submit any changes to the original application made during the year.
(c) **Utilization review certificate of registration.** The Certificate of Registration executed under the hand and seal of the Insurance Commissioner and delivered, is evidence of authority to perform utilization review in the State of Oklahoma.

[**Source:** Added at 10 Ok Reg 1457, eff 5-1-93]