



LOUISIANA DEPARTMENT OF INSURANCE  
JAMES J. DONELON  
COMMISSIONER

**INSTRUCTIONS FOR  
APPLICATION FOR  
HEALTH MAINTENANCE ORGANIZATION LICENSE  
IN LOUISIANA**

**GENERAL INSTRUCTIONS**

This packet is designed to assist the individual preparing this application in complying with the statutory and administrative requirements and to facilitate review of the application by the LDI. Therefore, it is extremely important that all applicants comply fully with the instructions and requirements set forth in this packet.

All communication should be directed to:

Louisiana Department of Insurance  
Company Licensing  
P.O. Box 94214  
Baton Rouge, LA 70804-9214  
OR  
1702 N. 3<sup>rd</sup> St.  
Baton Rouge, LA 70802  
Phone: (225) 219-0563  
Fax: (225) 219-9322  
E-Mail Address: [companvapps@ldi.la.gov](mailto:companvapps@ldi.la.gov)

While our Department will be happy to assist you and answer any questions you may have, we ask that you thoroughly review all instructions and forms before contacting us.

- 1) The Louisiana Department of Insurance (LDI) accepts electronic submission of the application via email. An application submitted in this manner must be submitted to [companvapps@ldi.la.gov](mailto:companvapps@ldi.la.gov) to assure receipt and prompt processing by the LDI. After submission of the application electronically, the payment of the fees must be submitted hard copy to the address above. All payments must be made payable to the Louisiana Department of Insurance.
- 2) If the application is submitted hard copy, all submittals in association with this application must reach the LDI via the United States Postal Service or a carrier with interstate business. Hand delivery is not acceptable and any information arriving in this manner will be returned without review. In addition, all correspondence must be sent to the attention of Company Licensing to assure prompt receipt and handling.
- 3) Submit only a fully completed application. Submittal of a partially completed application will cause processing delays and may result in disapproval.
- 4) **Do not alter** the forms contained in this packet. If you feel the requirements do not apply to your company, notify us. We will supply the proper form, if appropriate, and/or answer any questions you have about the forms.
- 5) All original items submitted become the property of the LDI and **will not be returned**.

- 6) All certified documents required in the application must be dated within six (6) months of submittal of the application. If an application is submitted hard copy rather than electronically, all certifications must be original.
- 7) All entries in the application forms must be typed or printed. Illegible entries or responses will be considered incomplete and may result in the disapproval of the application.
- 8) When designating a contact person for the application process, please remember that our staff will communicate only with this individual. The application process is considered confidential and will not be discussed with any person other than the named contact person. The applicant must notify the LDI in writing of any change in contact person.
- 9) The applicant must notify the LDI of any changes in the company or the information submitted in association with this application which occur while the application is under review. This includes changes in officers and directors; changes in address or domicile; and changes to the financial statements submitted in support of this application. Failure to notify the LDI of such changes may result in disapproval of the application.

### **INFORMATION REGARDING INCORPORATION**

Louisiana law requires that a health maintenance organization must be a Louisiana domiciled corporation and must be incorporated pursuant to and the Articles of Incorporation must be compliant with the provisions of La. R.S. 22:243.

Once the Articles of Incorporation are properly prepared, the document must be submitted to the LDI for approval along with a fee in the amount of \$25.00. The LDI encourages review and discussion of the proposed Articles of Incorporation prior to the official and final submission for approval. The documents submitted to the LDI for final approval may be executed or unexecuted.

If the LDI finds the Articles of Incorporation are compliant with the applicable laws, the document will be approved for recordation and returned to the submitter for recordation with the Louisiana Secretary of State.

Once the Articles of Incorporation are properly recorded with the Louisiana Secretary of State, the company exists as a corporation and may open bank accounts and otherwise carry on business as a corporation but may not transact business as a health maintenance organization until such time as it is granted a Certificate of Authority by the LDI.

### **INITIAL FINANCIAL EXAMINATION AND CONFIRMATION OF ASSETS**

Prior to the issuance of a Certificate of Authority to a health maintenance organization, the LDI will conduct an initial financial examination and confirmation of the assets of the applicant.

The applicant must be properly capitalized and its funds invested in compliance with the applicable statutes and in the name of the applicant upon submission of the application. If the funds are not properly invested and verifiable, the application will be disapproved.

The applicant must provide written notice to all depositories authorizing the release of information to the LDI.

## **LOCATION OF BOOKS AND RECORDS**

Pursuant to La. R.S. 22:251 the books and records of a Louisiana domiciled insurer must be maintained in Louisiana unless a plan to keep them out of state has been adopted by the board of directors of the insurer and approved by the LDI.

If the applicant intends to maintain books and records outside of Louisiana, the required plan must be submitted as part of this application. That plan must include a detailed description of what books and records shall be maintained outside of Louisiana and a description of how those books and records will be made available to the LDI in compliance with La. R.S. 22:251 and all other applicable statutes.

## **SPECIAL INSTRUCTIONS REGARDING THIRD PARTY VERIFICATION REPORTS**

In association with this application, the LDI requires that all applicants make arrangements for third party verification reports for all persons for whom biographical affidavits are required. This must include all officers, all directors, all individuals who own ten percent or more of the applicant and all other persons responsible for the conduct of affairs of the applicant.

The reports must be prepared by one of the firms approved by the National Association of Insurance Commissioners. A list of those approved firms is available at [http://naic.org/documents/industry\\_ucaa\\_third\\_party.pdf](http://naic.org/documents/industry_ucaa_third_party.pdf). The applicant should advise the firm that the reports are being prepared for the LDI and make the necessary arrangements for payment.

## **WAIVER OF THIRD PARTY VERIFICATION REPORTS**

In certain cases the investigative report may be waived for specific individuals. The requirements for this waiver are as follows;

- 1) A report for the individual has been supplied to the LDI within one year prior to the date of submittal of the complete application packet. OR
- 2) The individual in question has been the officer or director of an insurer licensed to do business in Louisiana for a period of not less than 10 years. This exception will not apply when the company has undergone a change of control at any time in that 10 year period.

## **SPECIAL INSTRUCTIONS REGARDING FINGERPRINTING**

In association with this application, all officers, directors, trustees and all individuals who control, directly or indirectly ten percent or more of the applicant, are required to be fingerprinted.

For residents of Louisiana, fingerprinting services are provided by the license testing vendor PSI. No appointment is necessary and a list of testing locations and hours of operation is available on PSI's website (PSIexams.com). Fingerprinting fees are paid at the site at the time of submission.

For any individual who is not a resident of Louisiana, the following steps are required:

1. Duplicate fingerprint cards for each individual must be submitted. You may submit requests for blank fingerprint cards to [companyapps@ldi.la.gov](mailto:companyapps@ldi.la.gov). Please include the number of cards required and the address to which the cards should be mailed.
2. Fees in the amount of \$40.75 per applicant made payable to the Louisiana State Police.

3. A completed Authorization to Disclose Criminal History Records Information for each applicant. [This form is available on the LDI website.](#)
4. A completed Rap Sheet Disclosure Form for each applicant. [This form is available on the LDI website.](#)

All of these documents should be sent to:

Louisiana State Police  
Bureau of Criminal Identification and Information  
P.O. Box 66614 (Mail Slip A-6)  
Baton Rouge, LA 70896

Generally the Department will receive fingerprint results within three to four days from submission of the fingerprints. If the Louisiana State Police or Federal Bureau of Investigation are unable to run the reports due to unreadable or unclear fingerprint submissions, it may take up to sixty (60) days for a check to be completed using alternate means.

Any individual that is currently serving as an officer or director of another domestic regulated entity or has previously submitted fingerprints in association with a resident producer or adjuster license application may request a waiver of the fingerprinting requirements. Requests for such a waiver should be sent to [companyapps@ldi.la.gov](mailto:companyapps@ldi.la.gov). The request must provide a full explanation of the application to be filed, the names of all individuals for whom the waiver is requested and clearly explain the grounds for the request.

### **SPECIAL INSTRUCTIONS FOR MEDICARE ADVANTAGE APPLICANTS**

If the applicant is filing this application for the sole purpose of writing Medicare Advantage business in Louisiana, certain exhibits in the application are not required. See the Exhibits portion of this application package for indications of which exhibits are not required.

### **INSTRUCTIONS FOR ATTESTATION PAGE AND AFFIDAVITS**

The Attestation Page of this application must be completed by two officers of the applicant. Each signature must be witnessed by two individuals and notarized. The same two individuals may witness both signatures but a signatory of the document may not also act as a witness. The Attestation Page may also be signed in codicil by reproducing the form.

### **COMMON QUESTIONS**

The following are some of the most commonly asked questions regarding the application package and process.

**Q:** What is the time-frame for the review of an application?

**A:** The LDI makes every effort to review all applications as soon after submittal as possible. The review process can be expected to take from sixty (60) to ninety (90) days from receipt of a complete application. Please take this time frame into account when considering deadlines and operation schedules for the applicant.

**Q:** Can the forms in the application packet be recreated on a word processor for completion by the applicant?

**A:** No. The forms in this packet are designed for ease of recognition by our staff and, in many cases, in strict compliance with statutory wording requirements. Therefore, any changes in the format or wording of

**the forms will cause delays in the review and may lead to the disapproval of the application.**

**Q: Can the statutory deposits be made after an approval is given on the application?**

**A: No. All deposits must be in place at the time that the application is submitted. Failure to make these deposits prior to application review will result in the disapproval of the application.**

**Q: Is there a particular financial institution which the LDI prefers for the statutory deposit?**

**A: No. Statutes require only that the deposit be placed in a savings and loan or banking institution doing business in Louisiana. Any institution which meets this requirement is acceptable to the LDI.**

**Q: The Exhibits portion of the application form requires certain biographical information on owners of 10% or more of the applicant. What if all owners are corporations? Do the officers and directors of those corporations supply the biographical information?**

**A: Initially, no. However, the LDI reserves the right to request biographical information for all persons who would exercise control over the insurer up to and including the ultimate controlling party. The LDI will determine if additional information is required upon review of the application and notify the applicant.**

**Q: Can we meet with the LDI for a preliminary review of our application prior to submission?**

**A: Yes. Our staff will be happy to meet with representatives of the applicant to review the application before it is actually submitted. It should be noted, however, this courtesy review is to help assure completeness only, and the LDI will not issue a preliminary approval or disapproval of the application prior to submission. Any application sent to this Office via U.S. Mail will be considered submitted for review and will not be eligible for a pre-review. You may make an appointment for preliminary review by contacting the Company Licensing Section of the LDI. Preliminary reviews will be performed only with an appointment.**

## **COMMON QUESTIONS - Continued**

**Q: What factors should go into considering who should be named as the contact person?**

**A: Among the things to be considered when naming the contact person for the application process are:**

**Knowledge - The person acting as the contact should have a thorough knowledge of the application packet and company functions.**

**Accessibility - You should consider whether or not the contact person is easily reachable. A person who is often absent from the office or who is otherwise difficult to reach is a poor choice due to the nature of the application process.**

**Location - All requests for additional information include a deadline to supply this information. Therefore, you should consider the location of the contact person and whether or not he or she can reasonably be expected to obtain needed documents or information within a time frame which is usually set at 30 days.**



LOUISIANA DEPARTMENT OF INSURANCE

JAMES J. DONELON  
COMMISSIONER

**APPLICATION FOR  
HEALTH MAINTENANCE ORGANIZATION LICENSE  
IN LOUISIANA**

Applicant Information	
APPLICANT NAME:	_____
FEIN NO.:	_____
APPLICATION CONTACT NAME:	_____
CONTACT TITLE:	_____
CONTACT PHONE:	_____
CONTACT FACSIMILE:	_____
CONTACT EMAIL ADDRESS:	_____
CONTACT MAILING ADDRESS:	_____
	_____
	_____
	_____
Fees	
Initial Examination Fee	\$ 1,000.00
Certificate of Authority Fee	500.00
<b>Total Amount This Check</b>	<b>\$ 1,500.00</b>

# INTERROGATORIES

All of the following questions must be answered for every applicant. ATTACH A FULL EXPLANATION AND ANY REQUESTED INFORMATION FOR ALL "YES" ANSWERS

<p>1) Has the applicant or any entity which is affiliated or under the same general management, interlocking directorate or ownership as the applicant ever had an application denied by any state or federal regulatory authority? (If yes, provide details including the type of application, the identity of the authority which issued the denial, the reasons for the denial and an explanation of any subsequent events.)</p>	<input type="checkbox"/> YES	<input type="checkbox"/> NO
<p>2) Has the applicant or any entity which is affiliated or under the same general management, interlocking directorate or ownership as the applicant ever had a Certificate of Authority or license suspended or revoked by any regulatory authority? (If yes, provide details including the type of action, the identity of the authority that took the action, the reasons for the action, a copy of the order or other such notice of the action and an explanation of any subsequent events.)</p>	<input type="checkbox"/> YES	<input type="checkbox"/> NO
<p>3) Has the applicant or any entity which is affiliated or under the same general management, interlocking directorate or ownership as the applicant ever been subject to any regulatory action including cease and desist orders, fines, consent agreements or similar actions? (If yes, provide details including the type of action, the identity of the authority that took the action, the reasons for the action, a copy of the order or other such notice of the action and an explanation of any subsequent events.)</p>	<input type="checkbox"/> YES	<input type="checkbox"/> NO
<p>4) Has the applicant or any entity which is affiliated or under the same general management, interlocking directorate or ownership as the applicant ever been placed into any type of regulatory supervision or rehabilitation by any regulatory authority? ( If yes, provide details including the type of action, the identity of the authority that took the action, the reasons for the action, a copy of the order or other such notice of the action, an explanation of any subsequent events and an explanation of the current status.)</p>	<input type="checkbox"/> YES	<input type="checkbox"/> NO
<p>5) Is the applicant or any entity which is affiliated or under the same general management, interlocking directorate or ownership as the applicant currently involved in any dispute or controversy with any regulatory authority?</p>	<input type="checkbox"/> YES	<input type="checkbox"/> NO
<p>6) Has the applicant or any entity which is affiliated or under the same general management, interlocking directorate or ownership as the applicant ever been the subject of bankruptcy or liquidation proceedings? (If yes, provide the jurisdiction of the proceedings, the docket number, the current status and the date of final disposition.)</p>	<input type="checkbox"/> YES	<input type="checkbox"/> NO
<p>7) Is the applicant or any entity which is affiliated or under the same general management, interlocking directorate or ownership as the applicant currently a defendant or the subject in any legal action alleging fraud, dishonesty or breach of trust on the part of the applicant or its officers, directors, trustees or members? (If yes, supply a statement giving the jurisdiction of the case, a summary of the allegations, the case style (name) and a summary of the current status of the case.)</p>	<input type="checkbox"/> YES	<input type="checkbox"/> NO
<p>8) Has any person who is presently an officer, director or owner of 10 percent or more of the applicant ever been convicted of or pleaded guilty or nolo contendere to, or found liable of indictment or bill of information, in any jurisdiction, charging a felony or misdemeanor other than minor traffic violations?</p>	<input type="checkbox"/> YES	<input type="checkbox"/> NO
<p>9) Since incorporation, has the applicant transferred or encumbered any portion of its assets or business, or has its outstanding capital stock been directly or indirectly pledged?</p>	<input type="checkbox"/> YES	<input type="checkbox"/> NO
<p>10) Is the applicant presently negotiating or inviting negotiations or acting as party to a counter-letter which would result in a transfer or encumbrance of any portion of its assets or business, or result in its outstanding capital stock being directly or indirectly pledged?</p>	<input type="checkbox"/> YES	<input type="checkbox"/> NO



## INTERROGATORIES – Continued

<b>11) Is the applicant presently negotiating or inviting negotiations or acting as party to a counter-letter which would result in a merger or consolidation with any other entity or which would result in a change of ownership of 10 percent or more of the applicant?</b>	<input type="checkbox"/> YES	<input type="checkbox"/> NO
<b>12) Does the applicant contemplate a change in management or any transaction which would normally result in a change of management within the foreseeable future?</b>	<input type="checkbox"/> YES	<input type="checkbox"/> NO
<b>13) Is the applicant owned, operated or controlled, directly or indirectly, by any other state or province, district, territory or nation or any governmental subdivision or agency?</b>	<input type="checkbox"/> YES	<input type="checkbox"/> NO
<b>14) Is the applicant or any entity which is affiliated or under the same general management, interlocking directorate or ownership as the applicant currently licensed in any capacity by the Louisiana Department of Insurance? (If yes, provide the full name of the affiliated entity and the type of license(s) held in Louisiana.)</b>	<input type="checkbox"/> YES	<input type="checkbox"/> NO
<b>15) Has the applicant or any entity which is affiliated or under the same general management, interlocking directorate or ownership as the applicant operated in any capacity in Louisiana for which it would be required to be licensed by the Louisiana Department of Insurance without having first obtained the necessary license?</b>	<input type="checkbox"/> YES	<input type="checkbox"/> NO
<b>16) Is the applicant part of an insurance holding company group? (If yes, provide the holding company group code assigned by the NAIC _____.)</b>	<input type="checkbox"/> YES	<input type="checkbox"/> NO
<b>17) Is the applicant affiliated with or concurrently operating as a bank, bank holding company, subsidiary or affiliate?</b>	<input type="checkbox"/> YES	<input type="checkbox"/> NO
<b>18) Does the applicant purchase or intend to purchase investment securities through any investment banking or brokerage house or firm from whom any of the applicant's officers, directors, trustees, investment committee members or controlling stockholders receive a commission on such purchases?</b>	<input type="checkbox"/> YES	<input type="checkbox"/> NO
<b>19) Has the applicant ever purchased securities, assets or property of any kind from an entity owned or controlled by one or more of the applicant's officers, directors, trustees, controlling stockholder or any persons who have authority in the management of applicant's funds? (If yes, provide a full explanation and specifically address whether and officer, director, trustee, controlling stockholder or any person who has authority in the management of applicant's funds received any money or valuable thing for negotiating, procuring, recommending or aiding in such transaction.)</b>	<input type="checkbox"/> YES	<input type="checkbox"/> NO
<b>20) Has the applicant ever made a loan to an entity owned or controlled directly or through a holding corporation by one or more of the applicant's officers, directors, trustees or investment committee members, or to any such person? ? (If yes, provide a full explanation and specifically address whether and officer, director, trustee, controlling stockholder or any person who has authority in the management of applicant's funds received any money or valuable thing for negotiating, procuring, recommending or aiding in such transaction.)</b>	<input type="checkbox"/> YES	<input type="checkbox"/> NO
<b>21) Has the applicant ever sold or transferred any of its assets or property, real or personal, to an entity owned or controlled directly or through a holding corporation by one or more of the applicant's officers, directors, trustees or investment committee members, or to any such person? (If yes, provide a full explanation and specifically address whether and officer, director, trustee, controlling stockholder or any person who has authority in the management of applicant's funds received any money or valuable thing for negotiating, procuring, recommending or aiding in such transaction.)</b>	<input type="checkbox"/> YES	<input type="checkbox"/> NO

## INTERROGATORIES - Continued

<b>22) Is the applicant a member of a group of companies that shares common facilities or services (e.g. accounting personnel for financial statement preparation) or party to a tax allocation agreement with another company or companies? (If Yes, explain the division of costs between participants. If costs are pro-rated, what is the basis for division? Attach a copy of relevant contracts and include a summary of any attached contract.)</b>	<input type="checkbox"/> YES	<input type="checkbox"/> NO
<b>23) Has the applicant had its outstanding capital stock directly or indirectly pledged for the debt of an affiliate? (If yes, provide a full explanation and specifically address whether and officer, director, trustee, controlling stockholder or any person who has authority in the management of applicant's funds received any money or valuable thing for negotiating, procuring, recommending or aiding in such transaction.)</b>	<input type="checkbox"/> YES	<input type="checkbox"/> NO
<b>24) Does the applicant have any reinsurance contracts which in effect provide that the applicant will reimburse or indemnify the reinsurer for losses payable there under?</b>	<input type="checkbox"/> YES	<input type="checkbox"/> NO
<b>25) Does the applicant pay, directly or indirectly any commission to any officers, director, actuary, medical director or any other physician charged with the duty of examining risks or applications?</b>	<input type="checkbox"/> YES	<input type="checkbox"/> NO
<b>26) Does the applicant use or intend to use a third party (whether affiliated or unaffiliated) to manage the applicant's investments? (If yes, provide detailed information as to the compensation that will be paid for this service and attach a copy of the investment management agreement.)</b>	<input type="checkbox"/> YES	<input type="checkbox"/> NO
<b>27) Does the applicant have any outstanding unexercised stock options? (If yes, attach a full explanation of who holds these options and the number of shares subject thereto. If the options are outstanding for a number of shares greater than 10% of the number of shares currently issued, also attach a copy of the option form and of the plan pursuant to which the options were granted.)</b>	<input type="checkbox"/> YES	<input type="checkbox"/> NO



## EXHIBITS

**EXHIBIT A** – A copy of the bylaws or other such governing document of the applicant certified as true and correct by the secretary of the corporation.

**EXHIBIT B** – A copy of the Articles of Incorporation certified by the Louisiana Secretary of State.

**EXHIBIT C** - A balance sheet verified as true and correct by two officers of the company. This statement is not a pro-forma and should reflect the accurate condition of the applicant upon submission of the application.

**EXHIBIT D** – Pro forma financial statements for a period of three years from the proposed beginning business date. The applicant must use the Uniform Certificate of Authority form for health insurance. The forms are available at [http://naic.org/industry\\_ucaa.htm](http://naic.org/industry_ucaa.htm).

**EXHIBIT E** - A statement which provides a detailed description, value and exact source of all assets used to capitalize the applicant.

**EXHIBIT F** - Copies of all reinsurance contracts, agreements, or understandings which clearly illustrate the reinsurance plan of the applicant.

**EXHIBIT G** - A copy of the investment guidelines, policies, procedures or other such document which explains how decisions regarding the investments of the company will be made.

**EXHIBIT H** - A copy of the schedule of rates to be charged to individual and group enrollees. (NOT REQUIRED FOR MEDICARE ADVANTAGE APPLICANTS)

**EXHIBIT I** - A copy of the schedule of all fees and charges to be paid to the providers.

**EXHIBIT J** - Safekeeping or trust receipt from banking corporation doing a banking business within the state or from a savings and loan association or other insured financial institution chartered to do business in this state indicating that the applicant has deposited with the several institutions one million dollars (\$1,000,000.00) in cash to guarantee its financial responsibility. No single deposit shall exceed the insured deposit limit of any financial depository. The banks have the necessary pledge forms. Each certificate or other evidence of deposit must include the language required by La. R.S., 22:254 B.

### OR

the applicant may deposit with the Commissioner an irrevocable letter or letters of credit issued in the favor of the Commissioner of Insurance in the amount of one million dollars (\$1,000,000.00) in the aggregate. Each letter of credit shall be issued for a term of three years from the date thereof and must be compliant with the provisions of La. R.S. 22:254.

## EXHIBITS – Continued

**EXHIBIT K - Evidence of a fidelity bond or contract of insurance on employees and officers in an amount of not less than one hundred thousand dollars (\$100,000.00) in compliance with La. R.S. 22:250B.**

**EXHIBIT L – Completed biographical affidavits for all persons responsible for the conduct of affairs of the applicant. This should include all officers, all directors, all partners (in the case of a partnership), all trustees, all executive committee members and all person(s) owning, directly or indirectly, 10 percent or more of the applicant and any other person who exercises control or influence over the affairs of the applicant. Only the most recent version of the affidavit adopted by the National Association of Insurance Commissioners is acceptable. This form can be obtained from the NAIC web site ([http://naic.org/documents/industry\\_ucaa\\_form11.pdf](http://naic.org/documents/industry_ucaa_form11.pdf)).**

**EXHIBIT M – Written confirmation from the applicant that the fingerprints have been submitted as indicated in the special instructions in this application.**

**EXHIBIT N - Third party verification reports for all persons for whom biographical affidavits were supplied. See the application instructions for more information regarding the procedure for obtaining these reports.**

**EXHIBIT O - A detailed description of the corporate organizational/ownership structure of the applicant, its parent company, all owners and all affiliates. This description should include a chart showing the ownership percentages for all owners and all affiliated entities up to and including the ultimate controlling person. The chart must include the state of domicile and the Federal Employer Identification Number (FEIN) for each person. For a sample chart please go to our web site at <http://www.lds.state.la.us/Licensing/Company/index.htm/>. This chart must be verified as true and correct by the president and secretary of the applicant.**

**EXHIBIT P - A detailed Plan of Operation which addresses all of the following (NOT REQUIRED FOR MEDICARE ADVANTAGE APPLICANTS):**

- 1) Provide a full explanation of the sales techniques of the applicant which includes;
  - a. Information regarding recruitment and training of sales representatives.
  - b. Identification as to whether the applicant will be a direct writer or will use agents, brokers or a combination thereof.
  - c. Explanation of the compensation and control to be provided by the applicant to its agents, brokers or sales personnel.
  - d. Sample copies of any agreements entered into between the applicant and its agents or brokers.
  - e. If the applicant will use a specific agency or managing general agent, identification of the agency or managing general agent and a copy of the agreement for this arrangement.
  - f. Sample contract forms of all types used and remuneration schedule, including those for general agents, if any.

- 4) Provide a detailed description of the advertising that will be used by the applicant to market its products in this state. Include a detailed explanation as to how the applicant will develop, purchase, control and supervise its advertising.
- 5) Provide a description of the applicant's method of providing for health care services and describing the professional services to be rendered. This statement must include the health care delivery capabilities of the plan including the number of primary physicians, the number of non-primary physicians identified by specialty, the numbers and types of licensed health care support staff and the number of contracted hospitals. This information should be arranged by parish.
- 6) Provide a statement describing the geographic area to be served by the application. The statement must contain a listing of principal and other offices maintained by the applicant and must be accompanied by a graphic illustration (a map) of the proposed service area.
- 6) Explain in detail how (a) the applicant's enrollee contracts will be underwritten, including the issuance of enrollee contracts and endorsements (b) enrollee contracts will be cancelled and (c) premiums and other funds will be handled, including:
  - a. Identify the entity that will perform each of these functions.
  - b. Describe how the personnel will be trained, supervised, and compensated.
  - c. If personnel performing these functions will be shared with another entity or, if another entity will be performing these functions, please provide an explanation of this arrangement and a copy of the agreement for this service.
- 7) Describe in detail the procedures and programs which will be used by the applicant for internal review of the quality of health care provided to the enrollees.
- 8) Provide a full description of the enrollee grievance procedures to be utilized by the applicant.

**EXHIBIT Q - Copies of the form of the evidence of coverage to be issued to the enrollees. (NOT REQUIRED FOR MEDICARE ADVANTAGE APPLICANTS)**

**EXHIBIT R - Copies of the forms of all individual and group enrollee contracts. (NOT REQUIRED FOR MEDICARE ADVANTAGE APPLICANTS)**

## ADDRESS AND CONTACT INFORMATION

<b>MAILING ADDRESS: Below give the mailing address of the applicant.</b>		
Address:		
City:	State:	Zip:

<b>ADMINISTRATIVE OFFICE ADDRESS: Below give the physical address of the main administrative office of the applicant.</b>		
Address:		
City:	State:	Zip:

<b>BOOKS AND RECORDS LOCATION: Below give the physical address where the books and records of the applicant are available for inspection by the Louisiana Commissioner of Insurance.</b>		
Address:		
City:	State:	Zip:

<b>PRIMARY CONTACT: Below give the name, address, phone number and email address for the primary contact person with whom the LDI should communicate after completion of the licensing process.</b>		
Name:		
Address:		
City:	State:	Zip:
Phone Number:	Email Address:	

<b>COMPLAINT CONTACT: Below give the name, address, phone number and email address for the contact person to whom consumer complaints should be directed.</b>		
Name:		
Address:		
City:	State:	Zip:
Phone Number:	Email Address:	

## ADDRESS AND CONTACT INFORMATION - Continued

<b>PRODUCER LICENSING CONTACT:</b> Below give the name, address, phone number and email address for the contact person to whom inquiries and information regarding the licensing and appointment of producers should be directed.		
<b>Name:</b>		
<b>Address:</b>		
<b>City:</b>	<b>State:</b>	<b>Zip:</b>
<b>Phone Number:</b>		<b>Email Address:</b>

<b>Below give the appropriate phone number to be used by Louisiana consumers for the indicated function. If the applicant has designated numbers for specific functions, include that information below.</b>	
FUNCTION	PHONE NUMBER
<b>Primary Phone Number of Applicant</b>	
<b>General Consumer Inquiries</b>	
<b>Other (explain)</b> _____	
<b>Other (explain)</b> _____	
<b>Other (explain)</b> _____	

<b>WEB ADDRESS:</b> If the applicant maintains a web site, give the URL or World Wide Web address of the site.



## DEPOSITORY INFORMATION

Below provide the name, contact information and account information for all depositories with which the applicant has a relationship. You may reproduce this page as needed.

<b>Bank/Broker Name:</b>		
<b>Contact Name:</b>		
<b>Address:</b>		
<b>City:</b>	<b>State:</b>	<b>Zip:</b>
<b>Phone Number:</b>	<b>Email Address:</b>	
<b>Account Number:</b>		
<b>Bank/Broker Name:</b>		
<b>Contact Name:</b>		
<b>Address:</b>		
<b>City:</b>	<b>State:</b>	<b>Zip:</b>
<b>Phone Number:</b>	<b>Email Address:</b>	
<b>Account Number:</b>		
<b>Bank/Broker Name:</b>		
<b>Contact Name:</b>		
<b>Address:</b>		
<b>City:</b>	<b>State:</b>	<b>Zip:</b>
<b>Phone Number:</b>	<b>Email Address:</b>	
<b>Account Number:</b>		

# ATTESTATION

BEFORE ME, the undersigned authority, personally appeared all of the below indicated individuals as directors of

\_\_\_\_\_, an insurer incorporated under the laws of Louisiana, who,

after being duly sworn, did depose and say they have personal knowledge of the information submitted with this application and that all

information contained in this application and all attachments thereto is, to the best of his/her knowledge, true, complete and correct.

\_\_\_\_\_  
Signature of Witness

\_\_\_\_\_  
Signature of Company President

\_\_\_\_\_  
Printed Name of Witness

\_\_\_\_\_  
Printed Name of Company President

\_\_\_\_\_  
Signature of Witness

\_\_\_\_\_  
Signature of Company Secretary

\_\_\_\_\_  
Printed Name of Witness

\_\_\_\_\_  
Printed Name of Company Secretary

SWORN TO and subscribed before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

\_\_\_\_\_  
Signature of Notary

\_\_\_\_\_  
Printed Name of Notary

My Commission Expires \_\_\_\_\_