

Revision marks reflect changes from draft of Nov. 4, 2020.

DRAFT FOR DISCUSSION
GUIDELINES FOR AMENDING THE UNIFORM LICENSING APPLICATIONS

The mission of the Producer Licensing (D) Task Force includes the development and implementation of uniform standards with a primary emphasis on encouraging the use of electronic technology. As part of this mission, the Task Force has appointed a Producer Licensing Uniformity (D) Working Group to “review and update, as needed, the NAIC’s uniform producer licensing applications and uniform appointment form.” In support of this mission and charge, the Producer Licensing (D) Task Force recognizes the importance of having stable, streamlined, and consistent NAIC’s Uniform Producer Licensing Applications, which comply with the statutes and regulations of the NAIC Membership and encourage the use of electronic technology in the most efficient manner.

In support of this mission and the importance of maintaining stable and consistent NAIC Uniform Licensing Applications, the Producer Licensing (D) Task Force will use the following guidelines for substantive changes to the NAIC’s Uniform Licensing Applications.

1. On a biennial basis, the Producer Licensing (D) Task Force will send an email notification by Dec. 1st asking for proposed changes to the NAIC Uniform Licensing Applications. The requested changes are to be submitted using the NAIC Uniform Licensing Application Change Request as a Word document. The form should be completed in its entirety, attached to the Producer Licensing (D) Task Force e-mail notification, and submitted to NAIC staff providing primary support for the Producer Licensing (D) Task Force. All requests should be submitted by Feb. 1.
2. If the Producer Licensing (D) Task Force recommends further analysis of the request, the Task Force will assign the request to the Producer Licensing Uniformity (D) Working Group by the NAIC Spring National Meeting. The Working Group will review the request pursuant to the following guiding questions:
 - a. Does the proposed change maintain the NAIC Membership’s mission of uniform licensing standards with a primary emphasis on encouraging the use of electronic technology?
 - b. Does the proposed change serve a regulatory purpose of stronger consumer protection while maintaining an efficient licensing process for producer applicants? This should include documentation on why the existing Uniform Applications do not meet these objections.
 - c. Does the proposed change comply with the statutes and regulations of the NAIC Membership and encourage the use of the NAIC’s Uniform Applications in all jurisdictions?
3. The initial comment period on exposure drafts for the Producer Licensing Uniformity (D) Working Group should be 30 calendar days. The Working Group may consider additional exposure periods of less than 30 days for revisions to the same draft.
4. Revisions to the NAIC’s Uniform Applications should be adopted by the Producer Licensing Uniformity (D) Working Group and the Producer Licensing (D) Task Force by the NAIC Summer National Meeting.¹
5. If the Producer Licensing Uniformity (D) Working Group recommends not to proceed with a request, the request will be updated with that decision, filed for future reference, and a copy to the requestor.
6. If the Producer Licensing Uniformity (D) Working Group recommends proceeding with a request, NAIC and NIPR staff will perform analysis during the next 30 days and provide a time and cost estimate for the Producer Licensing (D) Task Force’s review and prioritization with an identified implementation date.
7. Revisions to the NAIC’s Uniform Applications should be adopted by the Market Regulation and Consumer Affairs (D) Committee by Oct. 1, and the Executive Committee and Plenary by the NAIC Fall National Meeting.

¹ This timeline will require the charges assigned to the Producer Licensing Uniformity (D) Working Group to be revised to reflect the Working Group should provide recommended changes to the Producer Licensing (D) Task Force by the NAIC Summer National Meeting instead of June 1.

NAIC Uniform Application Change Request

Date Submitted: _____

Name: _____

State: _____

E-Mail: _____

Phone: _____

Change Request to Following NAIC Uniform Application (Check all that apply)

- Uniform Application for Individual License/Registration
- Uniform Application for Individual License Renewal/Continuation
- Uniform Application for Business Entity Licensing Registration
- Uniform Application for Business Entity License Renewal/Continuation

Provide Concise Description of Proposed Change

Provide Reason for the Proposed Change

Provide Supporting Information Related to the Proposed Change

To Be Completed by NAIC/NIPR Staff

Change Request ID #	Date Received	Estimated Hours	Recommendation

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