

## **Office of the Clerk of the Commission**

Copies of the following business entity and Uniform Commercial Code (UCC) forms and documents may be viewed during regular work days from 8:15 a.m. until 5 p.m. at the State Corporation Commission, Clerk's Office, 1st Floor, Tyler Building, 1300 East Main Street, Richmond, VA 23219. The mailing address is P.O. Box 1197, Richmond, VA 23218-1197. Copies may be obtained free of charge by contacting the Clerk's Office by telephone (804) 371-9733, toll-free in Virginia (866) 722-2551, or FAX (804) 371-9521. Most of the forms may be downloaded from the Clerk's Office section on the State Corporation Commission's website at <http://www.scc.virginia.gov/clk>.

Questions regarding interpretation or implementation of these forms and documents may be directed to Joel H. Peck, Clerk of the Commission, State Corporation Commission, 1st Floor, Tyler Building, 1300 East Main Street, Richmond, VA 23219, telephone (804) 371-9834, toll-free in Virginia (866) 722-2551, or FAX (804) 371-9912. The mailing address is P.O. Box 1197, Richmond, VA 23218-1197.

### **Guidance Documents:**

For business entity forms, use the following link: <http://www.scc.virginia.gov/clk/formfee.aspx>

For UCC forms, use the following link: <http://www.scc.virginia.gov/clk/uccfile.aspx>

SCC 21.2, Expedited Service Request Form - Business Entity Filing, revised October 2017, § 12.1-21.2

SCC 21.2, Expedited Service Request Form - Business Entity Filing Instructions, revised January 16, 2017, § 12.1-21.2

SCC 544, Articles of Incorporation of a Virginia Professional Stock Corporation, revised July 2005, § 13.1-544

SCC 607/807, Guide for Articles of Correction for a Virginia Corporation, revised July 2008, §§ 13.1-607 and 13.1-807

SCC 615/815, Corporate Annual Registration Fee Notice, revised annually, §§ 13.1-615 and 13.1-815

SCC 619, Articles of Incorporation of a Virginia Stock Corporation, revised September 2015, § 13.1-619

SCC 631/830, Application for Reservation or for Renewal of Reservation of a Business Entity Name, revised July 2015, §§ 13.1-631, 13.1-830, 13.1-1013, 13.1-1215 and 50-73.3

SCC 632/831, Application for Registration or for Renewal of Registration of Corporate Name (Foreign Corporations), revised April 2016, §§ 13.1-632 and 13.1-831

SCC 635/834, Statement of Change of Registered Office and/or Registered Agent of a Corporation, revised April 2016, §§ 13.1-635, 13.1-764, 13.1-834 and 13.1-926

SCC 636/835, Statement of Resignation of Registered Agent of a Corporation, revised July 2010, §§ 13.1-636, 13.1-765, 13.1-835 and 13.1-927

SCC 710, Guide for Articles of Amendment - Virginia Stock Corporation, revised April 2008, § 13.1-710

SCC 710N, Articles of Amendment - Changing the Name of a Virginia Stock Corporation by Unanimous Consent of the Shareholders, revised July 2007, § 13.1-710

SCC 711, Guide for Articles of Restatement of a Virginia Stock Corporation, revised April 2017, § 13.1-711

SCC 720, Guide for Articles of Merger of a Virginia Stock Corporation, revised February 2017, § 13.1-720

SCC 722.4, Guide for Articles of Domestication (Foreign Stock Corporation Intending to Become a Virginia Stock Corporation), revised April 2008, § 13.1-722.4

SCC 722.5, Guide for Articles of Incorporation Surrender (Virginia Stock Corporation to be Domesticated under the Laws of Another Jurisdiction), revised July 2015, § 13.1-722.5

SCC 722.12-LLC, Guide for Articles of Entity Conversion (Virginia Stock Corporation Converting to a Virginia Limited Liability Company), revised November 2017, § 13.1-722.12

SCC 743, Articles of Dissolution (Virginia Stock Corporation), revised July 2007, § 13.1-743

SCC 744, Articles of Revocation of Dissolution (Virginia Stock Corporation), revised July 2007, § 13.1-744

SCC 750, Articles of Termination of Corporate Existence (Virginia Stock Corporation), revised July 2007, § 13.1-750

SCC 751, Articles of Termination of Corporate Existence (By the Initial Directors or the Incorporators of a Virginia Stock Corporation), revised July 2007, § 13.1-751

SCC 754P, Reinstatement Requirements Packet, §§ 13.1-754, 13.1-769.1, 13.1-916 and 13.1-931.1

SCC 759/921, Application for a Certificate of Authority to Transact Business in Virginia, revised June 2016, §§ 13.1-759 and 13.1-921

SCC 760/922, Application for an Amended Certificate of Authority to Transact Business in Virginia, revised August 2016, §§ 13.1-760 and 13.1-922

SCC 767/929, Application for a Certificate of Withdrawal of a Foreign Corporation Authorized to Transact Business in Virginia, revised April 2017, §§ 13.1-767 and 13.1-929

SCC 819, Articles of Incorporation of a Virginia Nonstock Corporation, revised June 2014, § 13.1-819

SCC 888, Guide for Articles of Amendment - Nonstock Corporation, revised September 2011, § 13.1-888

SCC 888N, Articles of Amendment - Changing the Name of a Virginia Nonstock Corporation by Unanimous Consent of the Members or by the Directors without Member Action, revised July 2007, § 13.1-888

SCC 889, Guide for Articles of Restatement of a Virginia Nonstock Corporation, revised April 2008, § 13.1-889

SCC 896, Guide for Articles of Merger of a Virginia Nonstock Corporation, revised July 2009, § 13.1-896

SCC 898.4, Guide for Articles of Domestication (Foreign Nonstock Corporation Intending to Become a Virginia Nonstock Corporation), revised April 2008, § 13.1-898.4

SCC 898.5, Guide for Articles of Incorporation Surrender (Virginia Nonstock Corporation to be Domesticated under the Laws of Another Jurisdiction), revised July 2015, § 13.1-898.5

SCC 904, Articles of Dissolution (Virginia Nonstock Corporation), revised July 2007, § 13.1-904

SCC 905, Articles of Revocation of Dissolution (Virginia Nonstock Corporation), revised July 2007, § 13.1-905

SCC 912, Articles of Termination of Corporate Existence (Virginia Nonstock Corporation), revised July 2007, § 13.1-912

SCC 913, Articles of Termination of Corporate Existence (By the Initial Directors or the Incorporators of a Virginia Nonstock Corporation), revised July 2007, § 13.1-913

Corporate Annual Report of Principal Office and Officers and Directors, revised annually, §§ 13.1-775 and 13.1-936

LPA-73.5, Statement of Change of Registered Office and/or Registered Agent of a Limited Partnership, revised April 2016, § 50-73.5

LPA-73.6, Statement of Resignation of Registered Agent of a Limited Partnership, revised July 2010, § 50-73.6

LPA-73.11, Certificate of Limited Partnership, revised July 2010, § 50-73.11

LPA-73.11:3, Certificate of Limited Partnership of a Domestic or Foreign Partnership Converting to a Virginia Limited Partnership, revised July 2010, § 50-73.11:3

LPA-73.12, Certificate of Amendment of a Certificate of Limited Partnership, revised July 2013, § 50-73.12

LPA-73.52:4, Certificate of Cancellation of a Virginia Limited Partnership, revised July 2010, § 50-73.52:4

LPA-73.52:7P, Reinstatement Requirements Packet, §§ 50-73.52:7 and 50-73.58:3

LPA-73.54, Application for a Certificate of Registration to Transact Business in Virginia as a Foreign Limited Partnership, revised July 2010, § 50-73.54

LPA-73.57, Amended Application for Registration as a Foreign Limited Partnership, revised July 2010, § 50-73.57

LPA-73.58, Application for a Certificate of Cancellation of a Foreign Limited Partnership Registered to Transact Business in Virginia, revised July 2013, § 50-73.58

LPA-73.67, Limited Partnership - Annual Registration Fee Assessment Notice, revised annually, § 50-73.67

LPA-73.77, Amended and Restated Certificate of Limited Partnership, revised July 2010, § 50-73.77

LLC-1011, Articles of Organization of a Virginia Limited Liability Company, revised December 2017, § 13.1-1011

LLC-1011.1, Guide for Articles of Correction to the Articles of Organization of a Virginia Limited Liability Company, revised February 2013, § 13.1-1011.1

LLC-1014, Guide for Articles of Amendment - Virginia Limited Liability Company, revised April 2010, § 13.1-1014

LLC-1014N, Articles of Amendment - Changing the Name of a Virginia Limited Liability Company - By the Members, revised February 2015, § 13.1-1014

LLC-1014.1, Guide for Articles of Restatement of the Articles of Organization of a Virginia Limited Liability Company, revised April 2010, § 13.1-1014.1

LLC-1016, Statement of Change of Registered Office and/or Registered Agent of a Limited Liability Company, revised April 2016, § 13.1-1016

LLC-1017, Statement of Resignation of Registered Agent of a Limited Liability Company, revised July 2010, § 13.1-1017

LLC-1018.1, Statement of Change of the Principal Office Address of a Limited Liability Company, revised April 2010, § 13.1-1018.1

LLC-1050, Articles of Cancellation of a Virginia Limited Liability Company, revised November 2017, § 13.1-1050

LLC-1050.4P, Reinstatement Requirements Packet, §§ 13.1-1050.4 and 13.1-1056.3

LLC-1052, Application for a Certificate of Registration to Transact Business in Virginia as a Foreign Limited Liability Company, revised June 2016, § 13.1-1052

LLC-1055, Amended Application for Registration as a Foreign Limited Liability Company, revised August 2016, § 13.1-1055

LLC-1056, Application for a Certificate of Cancellation of a Foreign Limited Liability Company Registered to Transact Business in Virginia, revised May 2016, § 13.1-1056

LLC-1062, Limited Liability Company Annual Registration Fee Assessment Notice, revised annually, § 13.1-1062

LLC-1077, Guide for Articles of Domestication (Foreign Limited Liability Company Intending to Become a Virginia Limited Liability Company), revised August 2016, § 13.1-1077

LLC-1078, Guide for Articles of Organization Surrender (Virginia Limited Liability Company to be Domesticated under the Laws of Another Jurisdiction), revised August 2016, § 13.1-1078

LLC1085-CORP, Guide for Articles of Entity Conversion (Virginia Limited Liability Company Converting to a Virginia Stock Corporation), revised July 2016, § 13.1-1085

LLC1085-PART, Guide for Articles of Entity Conversion (Virginia Partnership or Limited Partnership Converting to a Virginia Limited Liability Company), revised July 2016, § 13.1-1085

LLC-1103, Articles of Organization for a Virginia Professional Limited Liability Company, revised December 2017, § 13.1-1103

UPA-93, Statement of Partnership Authority, revised April 2015, § 50-73.93

UPA-94, Statement of Denial for a Partnership, revised July 2010, § 50-73.94

UPA-115, Statement of Dissociation from a Partnership, revised July 2010, § 50-73.115

UPA-121, Statement of Dissolution of a Partnership, revised July 2010, § 50-73.121

UPA-83D-CANC, Cancellation of Partnership Statement, revised July 2010, § 50-73.83 D

UPA-83D-AMEND, Amendment to Partnership Statement, revised July 2010, § 50-73.83 D

UPA-83D-RENEW, Renewal of a Statement of Partnership Authority, revised July 2010, § 50-73.83 D

UPA-132, Statement of Registration as a Virginia Registered Limited Liability Partnership, revised July 2010, § 50-73.132

UPA-134, Annual Continuation Report of a Virginia or Foreign Registered Limited Liability Partnership, revised annually, § 50-73.134

UPA-134P, Restoration Requirements Packet, § 50-73.134

UPA-135, Certificate of Change of Registered Office and/or Registered Agent of a Registered Limited Liability Partnership, revised April 2016, § 50-73.135

UPA-135-RESIGN, Certificate of Resignation of Registered Agent of a Registered Limited Liability Partnership, revised July 2010, § 50-73.135

UPA-136, Statement of Amendment of a Statement of Registration of a Virginia or Foreign Registered Limited Liability Partnership, revised July 2010, § 50-73.136

UPA-137, Statement of Cancellation of a Statement of Registration of a Virginia Registered Limited Liability Partnership, revised July 2010, § 50-73.137

UPA-138, Statement of Registration as a Foreign Registered Limited Liability Partnership, revised July 2010, § 50-73.138

UPA-139, Statement of Cancellation of Registration as a Foreign Registered Limited Liability Partnership, revised July 2010, § 50-73.139

BTA 1212, Articles of Trust of a Domestic Business Trust, revised July 2005, § 13.1-1212

BTA 1213, Guide for Articles of Correction to the Articles of Trust of a Domestic Business Trust, revised April 2008, § 13.1-1213

BTA 1216, Guide for Articles of Amendment to the Articles of Trust of a Domestic Business Trust, revised April 2008, § 13.1-1216

BTA 1217, Guide for Articles of Restatement of the Articles of Trust of a Domestic Business Trust, revised April 2008, § 13.1-1217

BTA 1221, Statement of Change of Registered Office and/or Registered Agent of a Business Trust, revised April 2016, § 13.1-1221

BTA 1222, Statement of Resignation of Registered Agent of a Business Trust, revised July 2010, § 13.1-1222

BTA 1238, Articles of Cancellation of a Virginia Business Trust, revised April 2009, § 13.1-1238

BTA 1239P, Reinstatement Requirements Packet, §§ 13.1-1239 and 13.1-1246.3

BTA 1242, Application for a Certificate of Registration to Transact Business in Virginia as a Foreign Business Trust, revised April 2009, § 13.1-1242



BTA 1245, Amended Application for Registration as a Foreign Business Trust, revised April 2009, § 13.1-1245

BTA 1246, Application for a Certificate of Cancellation of a Foreign Business Trust Registered to Transact Business in Virginia, revised July 2013, § 13.1-1246

BTA 1251, Business Trust Annual Registration Fee Assessment Notice, revised annually, § 13.1-1251

SOP-19.1, Service of Process, Notice, Order or Demand on the Clerk of the State Corporation Commission as Statutory Agent, revised December 2017, § 12.1-19.1

SOP-19.1, Service of Process, Notice, Order or Demand on the Clerk of the State Corporation Commission as Statutory Agent Instructions, revised December 4, 2017, § 12.1-19.1

UCC1, UCC Financing Statement, revised April 20, 2011, § 8.9A-509

UCC1Ad, UCC Financing Statement Addendum, revised April 20, 2011, § 8.9A-509

UCC1AP, UCC Financing Statement Additional Party, revised August 22, 2011, § 8.9A-509

UCC3, UCC Financing Statement Amendment, revised April 20, 2011, § 8.9A-512

UCC3Ad, UCC Financing Statement Amendment Addendum, revised April 20, 2011, § 8.9A-512

UCC3AP, UCC Financing Statement Amendment Additional Party, revised August 22, 2011, § 8.9A-512

UCC5, Information Statement, revised July 19, 2012, § 8.9A-518

UCC11, Information Request, revised July 19, 2012, 5VAC5-30-40

Annual Corporation Requirements, revised March 2008, §§ 13.1-775, 13.1-775.1, 13.1-936 and 13.1-936.1

Charter Fee/Entrance Fee Scheduled for Domestic and Foreign Corporations, revised March 2008, §§ 13.1-615.1, 13.1-616, 13.1-815.1 and 13.1-816

Notice to Virginia Corporations, revised June 2014, § 13.1-601 et seq. and § 13.1-801 et seq.

Notice to Foreign Corporations, revised June 2014, § 13.1-757 et seq. and § 13.1-919 et seq.

Notice to Virginia Limited Liability Companies, revised March 2013, § 13.1-1000 et seq.

Notice to Foreign Limited Liability Companies, revised March 2013, § 13.1-1051 et seq.

EINFRM, Request for Refund, revised December 2013, §§ 13.1-615, 13.1-815, 13.1-1065, 13.1-1255, 50-73.70 and 50-73.83

Frequently Asked Questions Regarding:

Annual Registration Fees, [http://scc.virginia.gov/clk/befaq/an\\_regfees.aspx](http://scc.virginia.gov/clk/befaq/an_regfees.aspx)

Annual Reports, [http://scc.virginia.gov/clk/befaq/an\\_repts.aspx](http://scc.virginia.gov/clk/befaq/an_repts.aspx)

Business Entity Names, <http://scc.virginia.gov/clk/befaq/name.aspx>

Fictitious Names, <http://scc.virginia.gov/clk/befaq/fict.aspx>

Foreign Business Entities, <http://scc.virginia.gov/clk/befaq/forinva.aspx>

Registered Agents, <http://scc.virginia.gov/clk/befaq/ra.aspx>

SCC eFile, <http://scc.virginia.gov/clk/befaq/sccefile.aspx>

Virginia Nonstock Corporations, <http://scc.virginia.gov/clk/befaq/vanon.aspx>

Uniform Commercial Code, <http://scc.virginia.gov/clk/uccfaq.aspx>

### **Division of Public Utility Regulation**

Copies of the following documents may be viewed during regular work days from 8:15 a.m. until 5 p.m. in the office of the State Corporation Commission, Division of Public Utility

Regulation, 4th Floor, Tyler Building, 1300 East Main Street, Richmond, VA 23219. The mailing address is P.O. Box 1197, Richmond, VA 23218. Contact Kelli Gravely at the same address, telephone (804) 371-9611, FAX (804) 371-9350, or email [kelli.gravely@scc.virginia.gov](mailto:kelli.gravely@scc.virginia.gov). Questions regarding interpretation or implementation of these documents may also be directed to Kelli Gravely. Additional information regarding the Division of Public Utility Regulation may be obtained at <http://www.scc.virginia.gov/pur>.

**Communications Related Guidance Documents:**

Letter, Division of Public Utility Regulation, dated December 12, 2017, Concerning Annual Payphone Service Provider Registration for 2018 including the letter and the forms for the payphone service provider annual registration, 20VAC5-407. Contact the Division of Public Utility Regulation at (804) 371-9611.

Letter, Division of Public Utility Regulation, dated December 12, 2017, Concerning Annual Operator Service Provider Registration for 2018 including the letter and the forms for the operator service provider annual registration, 20VAC5-407. Contact the Division of Public Utility Regulation at (804) 371-9611.

Application for Registration as an Operator Service Provider, December 2017, 20VAC5-407, <http://scc.virginia.gov/publicforms/149/osp.pdf>

Application for Registration as a Payphone Service Provider, December 2017, 20VAC5-407, <http://scc.virginia.gov/publicforms/147/psp.pdf>

Instructions and Form for Competitive Local Exchange Carrier Performance/Surety Bond, [http://scc.virginia.gov/publicforms/510/bond\\_blank.doc](http://scc.virginia.gov/publicforms/510/bond_blank.doc)

**Energy Related Guidance Documents:**

Memorandum to All Electric Utilities regarding underground electric distribution facilities, July 10, 1970, § 56-265.1 et seq., [http://www.scc.virginia.gov/pur/docs/und\\_dist.pdf](http://www.scc.virginia.gov/pur/docs/und_dist.pdf)

Tree Trimming Guidelines, September 1, 1996, House Joint Resolution No. 155 - 1989 Acts of Assembly

<http://www.scc.virginia.gov/pur/docs/tree.pdf>

Guidelines regarding application requirements for a certificate of public convenience and necessity for water and sewerage utilities, November 1, 2006, § 56-265.1 et seq.,

<http://www.scc.virginia.gov/pur/docs/ws.pdf>

Letter to All Electric and Gas Utilities regarding collection of monthly bills (cold weather - termination of service) and filing of complaint procedures, November annually, § 56-247.1,

<http://www.scc.virginia.gov/pur/docs/cold.pdf>

Form NMIN, Agricultural Net Metering or Net Metering Interconnection Notification, revised December 28, 2015, 20VAC5-315,

<http://www.scc.virginia.gov/publicforms/153/notification.pdf>

Electric Utility Integrated Resource Planning Guidelines, revised December 23, 2008, §§ 56-597, 56-598 and 56-599

<http://www.scc.virginia.gov/pur/docs/irp.pdf>

Gas Utility Five-Year Forecast Information Requirements, revised August 2016, § 56-248.1,

<http://www.scc.virginia.gov/pur/docs/forecast.pdf>

Guidelines Regarding Notice Information for a Third Party Renewable Power Purchase Agreement, December 2013, Chapter 382 of the 2013 Acts of Assembly, and Chapter 803 of the 2017 Acts of Assembly, <http://www.scc.virginia.gov/pur/pilot.aspx>

Guidelines of Minimum Requirements for Transmission Line Applications Filed Under Title 56 of the Code of Virginia, effective January 1, 2018,

<http://www.scc.virginia.gov/pur/docs/TransGuidelines.pdf>

Staff Guidance on Ordinary versus Non-Ordinary Extension Projects, effective January 1, 2018, <http://www.scc.virginia.gov/pur/docs/StaffGuidanceOrdvsNonOrd.pdf>

### **Bureau of Financial Institutions**

Copies of the following documents may be viewed during regular work days from 8:15 a.m. until 5 p.m. in the office of the State Corporation Commission, Bureau of Financial

Institutions, Tyler Building, 8th Floor, 1300 East Main Street, Richmond, VA 23219. The mailing address is P.O. Box 640, Richmond, VA 23218-0640. Copies may be obtained free of charge by contacting the bureau at the same address, telephone (804) 371-9657, FAX (804) 371-9416, or email [bfquestions@scc.virginia.gov](mailto:bfquestions@scc.virginia.gov).

Questions regarding interpretation or implementation of these documents may be directed to E. J. Face, Jr., Commissioner of Financial Institutions, Bureau of Financial Institutions, Tyler Building, 8th Floor, 1300 East Main Street, Richmond, VA 23219, telephone (804) 371-9659, FAX (804) 371-9416, or email [bfquestions@scc.virginia.gov](mailto:bfquestions@scc.virginia.gov). The mailing address is P.O. Box 640, Richmond, VA 23218-0640. Guidance documents and other information are available online at the bureau's website at <http://www.scc.virginia.gov/bfi/>.

### **Guidance Documents:**

The following documents are available at <http://www.scc.virginia.gov/bfi/> under the Administration heading.

### **Banks**

BFI-AL-0201, Application for a Branch Office, revised and reissued June 1, 2011, §§ 6.2-831 and 6.2-1133 of the Code of Virginia

BFI-AL-0202, Investments by Banks in Shares of Investment Companies, issued August 10, 1987, § 6.2-874 of the Code of Virginia

BFI-AL-0203, Loans Secured by Stock of Financial Institutions Holding Companies, revised and reissued June 1, 2011, §§ 6.2-874, 6.2-1186 and 6.2-1187 of the Code of Virginia

BFI-AL-0204, Investment in Community Development Corporations, issued September 8, 1988, § 6.2-874 of the Code of Virginia

BFI-AL-0205, Securities Rating Services, revised and reissued June 1, 2011, § 6.2-875 of the Code of Virginia

BFI-AL-0206, Loans in Violation of § 6.2-875, revised and reissued June 1, 2011, § 6.2-875 of the Code of Virginia

BFI-AL-0207, Obligations Subject to the Limits Specified, revised and reissued June 1, 2011, § 6.2-875 of the Code of Virginia

BFI-AL-0208, Exceptions to Lending Limits for State-Chartered Banks, revised and reissued June 1, 2011, § 6.2-875 of the Code of Virginia

BFI-AL-0209, Right of Offset by Holders of Subordinated Bank Debt, revised and reissued June 1, 2011, §§ 6.2-875 and 6.2-890 of the Code of Virginia

BFI-AL-0210, Loans Secured by Real Estate, revised and reissued June 1, 2011, §§ 6.2-878 and 6.2-879 of the Code of Virginia

BFI-AL-0212, Outside Auditor Access to Virginia Examination Reports, revised and reissued June 1, 2011, §§ 6.2-904 and 6.2-1195 of the Code of Virginia

BFI-AL-0214, Responsibility of Directors for Legal Lending Limit Violations, revised and reissued June 1, 2011, § 6.2-875 H of the Code of Virginia

BFI-AL-0215, Bank-Owned Life Insurance, revised and reissued June 1, 2011, §§ 6.2-808, 6.2-814 A, 13.1-627 A 14, 13.1-627 A 15, and 38.2-302 A 3 of the Code of Virginia

BFI-AL-0216, Payment of Dividends, issued March 27, 2012, §§ 6.2-869 and 6.2-708 of the Code of Virginia

### **Savings Institutions**

BFI-AL-0201, Application for a Branch Office, revised and reissued June 1, 2011, §§ 6.2-831 and 6.2-1133 of the Code of Virginia

BFI-AL-0203, Loans Secured by Stock of Financial Institutions Holding Companies, revised and reissued June 1, 2011, §§ 6.2-874, 6.2-1186 and 6.2-0187 of the Code of Virginia

BFI-AL-0212, Outside Auditor Access to Virginia Examination Reports, revised and reissued June 1, 2011, §§ 6.2-904 and 6.2-1195 of the Code of Virginia

BFI-AL-0301, Investment in Capital Stock of USL Savings Institutions Insurance Group, Ltd., revised and reissued June 1, 2011, §§ 6.2-1110 and 6.2-1186 A 22 of the Code of Virginia

BFI-AL-0303, Investment by Virginia Savings Institutions in Shares of Open-End Management Investment Companies, revised and reissued June 1, 2011, § 6.2-1186 A 21 of the Code of Virginia

### **Credit Unions**

BFI-AL-0401, Investments of Funds by Credit Unions, revised and reissued June 1, 2011, § 6.2-1376 of the Code of Virginia

### **Consumer Finance**

BFI-AL-0601, Sales of Automobile Club Memberships, revised and reissued June 1, 2011, § 6.2-1518 of the Code of Virginia

### **Interest and Usury**

BFI-AL-0701, Judgment Rate of Interest, revised and reissued June 1, 2011, § 6.2-302 of the Code of Virginia

BFI-AL-0702, Charges on Subordinate Mortgage Loans by Certain Lenders, revised and reissued June 1, 2011, § 6.2-327 of the Code of Virginia

BFI-AL-0703, Rebate of Unearned Installment Loan Interest by Banks - Rule of 78, revised and reissued June 1, 2011, §§ 6.2-401, 6.2-403, 6.2-423 and 6.2-1409 of the Code of Virginia

### **Mortgage Lenders and Brokers**

BFI-AL-1601, Mortgage Brokers as Named Payee on Mortgage Loan Notes, revised and reissued June 1, 2011, § 6.2-1600 of the Code of Virginia

BFI-AL-1603, Compensating, or Offering to Compensate, Unlicensed Mortgage Brokers, revised and reissued June 1, 2011, § 6.2-1600 of the Code of Virginia

BFI-AL-1604, Funds Available to Licensed Mortgage Lenders for Business Operation, revised and reissued June 1, 2011, §§ 6.2-1606 and 6.2-1619 of the Code of Virginia

BFI-AL-1605, Compensation of Unlicensed Mortgage Brokers, revised and reissued June 1, 2011, § 6.2-1625 of the Code of Virginia

BFI-AL-1606, Charging "Assignment Fees" to Borrowers, revised and reissued June 1, 2011, § 6.2-326 of the Code of Virginia

BFI-AL-1607, Fees Charged by Mortgage Brokers, revised and reissued June 1, 2011, § 6.2-1616 B 4 of the Code of Virginia

BFI-AL-1609, Minimum Mortgage Lender and Broker Surety Bond, revised and reissued June 1, 2011, § 6.2-1604 of the Code of Virginia

BFI-AL-1610, Prepayment Penalties in Alternative Mortgage Transactions, revised and reissued June 1, 2011, §§ 6.2-422 and 6.2-423 of the Code of Virginia

BFI-AL-1611, Nontraditional Mortgage Products, revised and reissued June 1, 2011

### **Payday Lenders**

BFI-AL-1802, Threatening Criminal Proceedings, revised and reissued June 1, 2011, § 6.2-1816 of the Code of Virginia

### **FORMS**

#### **Banks – Refer to Link below:**

<http://www.scc.virginia.gov/bfi/applic/banks.aspx>

Bank Directors Responsibilities, revised October 2010,

CCB-1117, Bank Directors Responsibilities Certification, revised October 2010

CCB-1121, Application of a New Bank or a New Savings and Loan Association for a Certificate of Authority to Begin Business in Virginia, revised October 2010

CCB-1123, Personal Financial Report and Disclosure Statement, revised September 2012



CCB-1125, Application of a Virginia Bank to Establish a Branch, revised October 2010

CCB-1126, Application to Change the Location of a Main Office or Branch Pursuant to Title 6.2 of the Code of Virginia, revised October 2010

CCB-1127, Application by a Bank to Engage in the Trust Business Pursuant to Title 6.2, Chapter 8, Article 3 of the Code of Virginia, revised October 2010

CCB-1128, Application for Approval of Merger Pursuant to Title 6.2 of the Code of Virginia, revised October 2010

CCB-1129, Application of a Subsidiary Trust Company for a Certificate of Authority to Begin Business Pursuant to Title 6.2, Chapter 10, Article 3 of the Code of Virginia, revised October 2010

CCB-1131, Application of an Interim Institution to Begin Business in Virginia, revised October 2010

CCB-1133, Notice to Establish an EFT Terminal, revised October 2010

CCB-1137, Application for Permission to Acquire Voting Shares of a Virginia Financial Institution Pursuant to § 6.2-704 A of the Code of Virginia, revised August 2016

CCB-1137A, Consent to Service of Process, revised October 2010

CCB-1138, Notice of Intent to Acquire a Bank Outside Virginia Pursuant to § 6.2-715 of the Code of Virginia, revised October 2010

CCB-1139, Application to Acquire a Virginia Bank Holding Company or Virginia Bank Pursuant to Title 6.2, Chapter 7 of the Code of Virginia, revised October 2010

CCB-1140, Oath of Office of Organizing Directors of Financial Institutions, revised October 2010

CCB-1143, Limited Personal Financial Report and Disclosure Statement, revised September 2012

CCB-1144, Application of a Bank Holding Company to Acquire a Federal Savings Institution Pursuant to § 6.2-1146 of the Code of Virginia, revised October 2010

CCB-1146, Application to Convert Pursuant to Title 6.2 of the Code of Virginia, revised October 2010

CCB-1147, Certification - Interagency Biographical and Financial Report, revised April 1998

CCB-1150, Employment and Business Affiliation Disclosure Form, revised October 2010

CCB-9905, Application to Establish a Trust Office, revised October 2010

**Savings Institutions – Refer to Link below:**

<http://www.scc.virginia.gov/bfi/applic/sav.aspx>

Responsibilities of Savings Institutions' Directors, revised September 1991

CCB-1121, Application of a New Bank or a New Savings and Loan Association for a Certificate of Authority to Begin Business in Virginia, revised October 2010

CCB-1123, Personal Financial Report and Disclosure Statement, revised September 2012

CCB-1126, Application to Change the Location of a Main Office or Branch Pursuant to Title 6.2 of the Code of Virginia, revised October 2010

CCB-1137A, Consent to Service of Process, revised October 2010

CCB-1140, Oath of Office of Organizing Directors of Financial Institutions, revised October 2010

CCB-1143, Limited Personal Financial Report and Disclosure Statement, revised September 2012

CCB-1146, Application to Convert Pursuant to Title 6.2 of the Code of Virginia, revised October 2010

CCB-1147, Certification - Interagency Biographical and Financial Report, revised April 1998

CCB-1150, Employment and Business Affiliation Disclosure Form, revised October 2010

CCB-2201, Application of a Virginia Savings Institution to Establish a Branch, revised October 2010

CCB-2206, Supplemental Sheet - Application of Savings Institutions for a Certificate of Authority to Begin Business, revised March 2008

CCB-2207, Application of a Savings Institution Holding Company for Acquisition of Control Pursuant to § 6.2-1147 of the Code of Virginia and 10VAC5-30-10 et seq., revised October 2010

CCB-2209, Application by an Out-of-State Savings Institution to Transact a Savings Institution Business in Virginia Pursuant to Title 6.2, Chapter 11, Article 5 of the Code of Virginia, revised October 2010

CCB-2210, Application to Acquire a Virginia Savings Institution Holding Company or Virginia Savings Institution Pursuant to Title 6.2, Chapter 11, Article 5 of the Code of Virginia, revised October 2010

CCB-2211, Notice of Intent to Acquire a Savings Institution Outside Virginia Pursuant to § 6.2-1160 of the Code of Virginia, revised October 2010

CCB-2212, Notice of Proposed Change of Location (within one mile) of a Main Office or Branch of a Savings Institution, revised October 2010

CCB-2213, Notice of Intent to Establish a Non-Depository Office by a Savings Institution Pursuant to § 6.2-1133 of the Code of Virginia, revised October 2010

CCB-2215, Application for a Certificate of Authority to Begin Business as a Savings Bank Pursuant to Title 6.2, Chapter 11, Article 2 of the Code of Virginia, revised October 2010

**Credit Unions – Refer to Link below:**

<http://www.scc.virginia.gov/bfi/applic/credun.aspx>

CCB-1123, Personal Financial Report and Disclosure Statement, revised September 2012

CCB-1137A, Consent to Service of Process, revised October 2010

CCB-1150, Employment and Business Affiliation Disclosure Form, revised October 2010

CCB-3302, Application for Permission to Establish and Operate a Credit Union Pursuant to § 6.2-1321 of the Code of Virginia, revised October 2010

CCB-3304, Consent to Service of Process (Insurer of Shares), revised October 2010

CCB-3305, Application by an Out-of-State Credit Union to Conduct Business as a Credit Union in Virginia Pursuant to § 6.2-1379 of the Code of Virginia, revised October 2010

CCB-3306, Application for Approval of Merger of Credit Unions Pursuant to § 6.2-1344 of the Code of Virginia, revised October 2010,

CCB-3307, Application of a Credit Union to Establish a Service Facility Pursuant to § 6.2-1326 of the Code of Virginia, revised October 2010

**Consumer Finance Companies – Refer to Link below:**

<http://www.scc.virginia.gov/bfi/applic/consfin.aspx>

CCB-1123, Personal Financial Report and Disclosure Statement, revised September 2012

CCB-1143, Limited Personal Financial Report and Disclosure Statement, revised September 2012

CCB-1149, Depository Institution Authorization Form, revised December 2004

CCB-1150, Employment and Business Affiliation Disclosure Form, revised October 2010

CCB-4401, Annual Report of a Consumer Finance Company, revised December 2016

CCB-4402, Application for a Consumer Finance License Pursuant to Chapter 15 of Title 6.2 of the Code of Virginia, revised June 2016

CCB-4403, Notice to Conduct Consumer Finance Business and Other Business at Same Location, revised October 2010

CCB-4406, Notice of Intent to Change the Location of a Consumer Finance Office, revised October 2010

CCB-4407, Application for an Additional Consumer Finance Office Pursuant to § 6.2-1507 B of the Consumer Finance Act, revised October 2010

CCB-4408, Application for Permission to Acquire Control of a Consumer Finance Licensee Pursuant to § 6.2-1510 of the Code of Virginia, revised October 2010

**Money Order Sellers and Money Transmitters – Refer to Link below:**

<http://www.scc.virginia.gov/bfi/applic/trans.aspx>

CCB-1123, Personal Financial Report and Disclosure Statement, revised September 2012

CCB-1143, Limited Personal Financial Report and Disclosure Statement, revised September 2012

CCB-1149, Depository Institution Authorization Form, revised December 2004

CCB-1150, Employment and Business Affiliation Disclosure Form, revised October 2010

CCB-5500, Application for a License to Engage in the Money Transmission and/or Money Order Sales Business Pursuant to Chapter 19 of Title 6.2 of the Code of Virginia, revised June 2017

CCB-5507, Annual Report of Money Order Sellers and Money Transmitters, revised December 2016

CB-5509, Surety Bond for Money Order Sales and Money Transmission, revised October 2010

CCB-5511, Transaction Report of Money Order Sellers and Money Transmitters for the Semi-Annual Period, revised 2011

CCB-5512, Transaction Report of Money Order Sellers and Money Transmitters for the Quarter, revised 2011

CCB-5513, Deposit Agreement under Virginia Code Title 6.2, Chapter 19 (Money Order Sales), revised October 2010

CCB-5514, Application for Permission to Acquire Control of a Money Transmitter Licensee Pursuant to § 6.2-1914 of the Code of Virginia, revised June 2014

**Check Cashers – Refer to Link below:**

<http://www.scc.virginia.gov/bfi/applic/check.aspx>

CCB-5510, Check Casher Registration Form, revised October 2010

**Payday Lenders – Refer to Link below:**

<http://www.scc.virginia.gov/bfi/applic/pay.aspx>

CCB-1123, Personal Financial Report and Disclosure Statement, revised September 2012

CCB-1143, Limited Personal Financial Report and Disclosure Statement, revised September 2012

CCB-1149, Depository Institution Authorization Form, revised December 2004

CCB-1150, Employment and Business Affiliation Disclosure Form, revised October 2010

CCB-5515, Application for a Payday Lender License Pursuant to Chapter 18 of Title 6.2 of the Code of Virginia, revised October 2010

CCB-5516, Surety Bond Pursuant to § 6.2-1804 of the Code of Virginia, revised October 2010

CCB-5517, Application for an Additional Office or Relocation of an Existing Office Pursuant to § 6.2-1807 of the Code of Virginia, revised October 2010

CCB-5518, Application for Permission to Acquire Control of a Payday Lender Licensee Pursuant to § 6.2-1808 of the Code of Virginia, revised October 2010

CCB-5519, Application to Conduct the Business of Making Payday Loans and Other Business at Same Location, revised October 2010

CCB-5521, Annual Report of Payday Lenders, revised December 2016

**Motor Vehicle Title Lenders – Refer to Link below:**

<http://www.scc.virginia.gov/bfi/applic/mvtitle.aspx>

CCB-1123, Personal Financial Report and Disclosure Statement, revised September 2012

CCB-1143, Limited Personal Financial Report and Disclosure Statement, revised September 2012

CCB-1149, Depository Institution Authorization Form, revised December 2004

CCB-1150, Employment and Business Affiliation Disclosure Form, revised October 2010

CCB-5523, Application for a Motor Vehicle Title Lender License Pursuant to Chapter 22 of Title 6.2 of the Code of Virginia, revised June 2017

CCB-5524, Surety Bond for a Motor Vehicle Title Lender Pursuant to §6.2-2204 of the Code of Virginia, revised October 2010

CCB-5525, Application for an Additional Office or Relocation of an Existing Office Pursuant to Chapter 22, Title 6.2 of the Code of Virginia, revised October 2010

CCB-5527, Application to Conduct the Business of Motor Vehicle Title Lending and Other Business Same Location, revised October 2010

CCB-5529, Annual Report of Motor Vehicle Title Lenders, revised December 2016

**Industrial Loan Associations – Refer to Link below:**

[http://www.scc.virginia.gov/bfi/reg\\_inst/repts.aspx](http://www.scc.virginia.gov/bfi/reg_inst/repts.aspx)

CCB-6602, Annual Report of Industrial Loan Associations, revised December 2016

**Please refer to: <http://www.scc.virginia.gov/bfi/applic/banks.aspx> for CCB-1140 listed below.**

CCB-1140, Oath of Office of Organizing Directors of Financial Institutions, revised October 2010

**Credit Counseling Agencies – Refer to Link below:**

<http://www.scc.virginia.gov/bfi/applic/credcouns.aspx>

CCB-1123, Personal Financial Report and Disclosure Statement, revised September 2012

CCB-1148, Personal Information and Disclosure Statement for Directors of Credit Counseling Agencies, revised June 2006

CCB-1149, Depository Institution Authorization Form, revised December 2004

CCB-1150, Employment and Business Affiliation Disclosure Form, revised October 2010

CCB-7700, Application to Engage in the Business of a Credit Counseling Agency Pursuant to Chapter 20, Title 6.2 of the Code of Virginia, revised October 2010

CCB-7702, Application for an Additional Office or the Relocation of an Existing Office Pursuant to § 6.2-2006 of the Code of Virginia, revised October 2010

CCB-7703, Surety Bond Pursuant to § 6.2-2003 of the Code of Virginia, revised October 2010

CCB-7704, Application for Permission to Acquire Control of a Credit Counseling Licensee Pursuant to § 6.2-2007 of the Code of Virginia, revised October 2010

CCB-7705, Semi-Annual Report of Agencies Providing Debt Management Plans, revised July 2017



CCB-7706, Annual Report of Agencies Providing Debt Management Plans, revised December 2016

**Mortgage Lenders and Mortgage Brokers – Refer to Link below:**

<http://www.scc.virginia.gov/bfi/applic/mort.aspx>

Effective January 3, 2011, mortgage lenders and mortgage brokers licensed pursuant to Chapter 16, Title 6.2 of the Code of Virginia began transitioning to the Nationwide Mortgage Licensing System (NMLS). Also, applicants for mortgage lender and mortgage broker licenses and for additional offices are required to apply online through NMLS.

CCB-1149, Depository Institution Authorization

CCB-1150, Employment and Business Affiliation Disclosure Form, revised October 2010

CCB-8808, Application for Permission to Acquire Control of a Mortgage Lender/Broker Licensed Pursuant to § 6.2-1608 of the Code of Virginia, revised March 2017

CCB-8812, Criminal History Records Consent and Fingerprinting, revised March 2017

CCB-8813, Surety Bond Pursuant to §§ 6.2-1604 and 6.2-1703 of the Code of Virginia, revised September 2013

CCB-8816, Virginia Mortgage Business Certification Form, revised October 2010

CCB-8820, Annual Report of Exempt Mortgage Lenders and Brokers, revised December 2015

CCB-8823, Exclusive Agent Conditions of Licensure, revised July 2014

**Mortgage Loan Originators – Refer to Link below:**

<http://www.scc.virginia.gov/bfi/applic/mlo.aspx>

CCB-8821, Application for Determination of a Bona Fide Non-Profit Status Pursuant to § 6.2-1701.1 of the Code of Virginia, revised September 2013

**Settlement Agents – Refer to Link below:**

<http://www.scc.virginia.gov/bfi/applic/settle.aspx>

CCB-10001, Settlement Agent Registration Form for a Financial Institution or its Affiliate or Subsidiary Pursuant to Chapter 27.3 of Title 55 of the Code of Virginia, revised October 2010

**Trust Companies – Refer to Link below:**

<http://www.scc.virginia.gov/bfi/applic/trust.aspx>

CCB-1123, Personal Financial Report and Disclosure Statement, revised September 2012

CCB-1140, Oath of Office of Organizing Directors of Financial Institutions, revised October 2010

CCB-1150, Employment and Business Affiliation Disclosure Form, revised October 2010

CCB-9900, Application of a Trust Company for a Certificate of Authority to Begin Business Pursuant to Title 6.2, Chapter 10, Article 2 of the Code of Virginia, revised October 2010

CCB-9901, Certificate of a Control Person of a Trust Company Pursuant to § 6.2-1024 of the Code of Virginia, revised October 2010

CCB-9902, Bond for a Trust Company, revised October 2010

CCB-9904, Dual Service Certificate - Affiliated Trust Companies, revised January 2005

CCB-9905, Application to Establish a Trust Office, revised October 2010

CCB-9906, Application for Permission to Acquire Voting Shares of a Trust Company Pursuant to § 6.2-1023 of the Code of Virginia, revised October 2010

CCB-9907, Application of a Trust Company to Change the Location of a Main Office or Branch Pursuant to § 6.2-1028 of the Code of Virginia, revised October 2010

CCB-9908, Notice of Intent to Engage in Business as a Private Trust Company, revised October 2010

**Publications:**

"The Compliance Connection," a newsletter for consumer finance companies, mortgage lenders, mortgage brokers, and industrial loan associations, published quarterly, [http://www.scc.virginia.gov/bfi/cc\\_news.aspx](http://www.scc.virginia.gov/bfi/cc_news.aspx)

Regulatory Report," regulatory news for Virginia payday lender and motor vehicle title lender licensees, published on an as-needed basis, [http://www.scc.virginia.gov/bfi/rr\\_news.aspx](http://www.scc.virginia.gov/bfi/rr_news.aspx)

Virginia Mortgage Law and Regulation Overview, revised April 6, 2010, <http://www.scc.virginia.gov/bfi/files/mortguide.pdf>

**Bureau of Insurance**

Copies of the following documents may be viewed during regular work days from 8:15 a.m. until 4:30 p.m. in the office of the State Corporation Commission, Bureau of Insurance, Tyler Building, 6th Floor, 1300 East Main Street, Richmond, VA 23219. The mailing address is P.O. Box 1157, Richmond, VA 23218. For general information call the Bureau of Insurance at telephone (804) 371-9741 or toll free in Virginia (800) 552-7945.

Questions regarding interpretation or implementation of these documents may be directed to Van Tompkins, Policy Advisor and Administrative Supervisor. Single copies of each document listed may be obtained free of charge by contacting Ms. Tompkins at P.O. Box 1157, Richmond, VA 23218, telephone (804) 371-9694, or FAX (804) 371-9873. Many of these documents are available online at the bureau's website at <http://www.scc.virginia.gov/boi>.

**Administrative Letters:**

Administrative Letter 1977-4, 1977 Insurance Legislation, issued April 15, 1977, <http://www.scc.virginia.gov/boi/adminlets/77-4.pdf>

Administrative Letter 1977-5, Readable Insurance Policies - Automobile, Fire, and Homeowners Policies, issued May 9, 1977, §§ 38.2-2107 (formerly § 38.1-367.1) and 38.2-2224 (formerly § 38.1-387.1), <http://www.scc.virginia.gov/boi/adminlets/77-5.pdf>

Administrative Letter 1977-6, 1977 Acts of the General Assembly of Virginia, issued May 9, 1977, §§ 38.2-2201 (formerly § 38.1-380.1), 38.2-2202 (formerly § 38.1-380.2) and 46.2-465 (formerly § 46.1-497.1), <http://www.scc.virginia.gov/boi/adminlets/77-6.pdf>

Administrative Letter 1977-7, Assignment of Driving Record Points, issued May 9, 1977, § 38.2-1904 (formerly § 38.1-279.33), <http://www.scc.virginia.gov/boi/adminlets/77-7.pdf>

Administrative Letter 1977-8, 1977 Acts of the General Assembly of Virginia, issued May 12, 1977, §§ 38.2-2118 (formerly § 38.1-279.49:1), 38.2-2204 (formerly § 38.1-381), 38.1-389.3 (Repealed 1996) and 38.2-2807 (formerly § 38.1-781), <http://www.scc.virginia.gov/boi/adminlets/77-8.pdf>

Administrative Letter 1977-9, 161 Private Passenger Car Class Plan, issued May 26, 1977, §§ 38.2-1904 (formerly § 38.1-279.33), 38.2-1910 (formerly § 38.1-279.38) and 38.2-2213 (formerly § 38.1-381.6), <http://www.scc.virginia.gov/boi/adminlets/77-9.pdf>

Administrative Letter 1977-11, Automobile Rate Classification Statement, issued July 15, 1977, § 38.2-2214 (formerly § 38.1-381.7), <http://www.scc.virginia.gov/boi/adminlets/77-11.pdf>

Administrative Letter 1977-14, Assignment of Driving Record Points, issued July 26, 1977, §§ 38.2-1904 (formerly § 38.1-279.33) and 38.2-1928 (formerly § 38.1-279.56), <http://www.scc.virginia.gov/boi/adminlets/77-14.pdf>

Administrative Letter 1977-15, Amendment of § 38.1-348.7 of the Code of Virginia Relating to Coverages for Mental Emotional or Nervous Disorders, Alcoholism and Drug Addiction, issued October 11, 1977, § 38.2-3412 (formerly § 38.1-348.7), <http://www.scc.virginia.gov/boi/adminlets/77-15.pdf>

Administrative Letter 1978-2, 1978 Acts of the General Assembly of Virginia, issued May 31, 1978, <http://www.scc.virginia.gov/boi/adminlets/78-2.pdf>

Administrative Letter 1978-5, (1) Amendment of §§ 38.1-348.7 and 38.1-348.8 of the Code of Virginia Relating to Coverages for Mental, Emotional or Nervous Disorders, Alcohol and Drug Dependence; (2) Enactment of § 38.1-348.9 of the Code of Virginia Relating to Optional Obstetrical Services Coverages in Group Insurance Plans and Policies; and (3) Enactment of § 38.1-348.10 of the Code of Virginia to Prohibit Exclusion or Reduction of Benefits under a Group Accident and Sickness Insurance Policy on a Group Prepaid Service Plan Issued Pursuant to Title 32.1 of the Code of Virginia on the Basis of Such Benefits Being Also Payable under an Individual Policy or Contract, issued June 15, 1978, §§ 38.2-3412 (formerly § 38.1-348.7), 38.2-3413 (formerly § 38.1-348.8), 38.2-3414 (formerly § 38.1-348.9) and 38.2-3415 (formerly § 38.1-348.10), <http://www.scc.virginia.gov/boi/adminlets/78-5.pdf>

Administrative Letter 1978-7, Policy Form Filings (for Maintenance of Mutual Assessment Fire Insurance Company Policy Form Filings), issued June 8, 1978, <http://www.scc.virginia.gov/boi/adminlets/78-7.pdf>

Administrative Letter 1978-8, The Use and Filing of Policy Forms (for Title Insurance Policies and Interim Binders), issued July 31, 1978, § 38.2-1003 (formerly § 38.1-76), <http://www.scc.virginia.gov/boi/adminlets/78-8.pdf>

Administrative Letter 1978-10, Notice of Refusal to Renew, issued September 12, 1978, § 38.2-2212 (formerly § 38.1-381.5), <http://www.scc.virginia.gov/boi/adminlets/78-10.pdf>

Administrative Letter 1978-12, ISO Copyright on Standard Forms, issued October 11, 1978, <http://www.scc.virginia.gov/boi/adminlets/78-12.pdf>

Administrative Letter 1978-13, Street Address of Branch Offices, issued October 25, 1978, <http://www.scc.virginia.gov/boi/adminlets/78-13.pdf>

Administrative Letter 1979-9, Charges for Motor Vehicle Accident and Conviction Reports, issued March 19, 1979, §§ 38.2-310 (formerly § 38.1-337) and 38.2-1904 (formerly § 38.1-279.33), <http://www.scc.virginia.gov/boi/adminlets/79-9.pdf>

Administrative Letter 1979-12, 1979 Acts of the General Assembly of Virginia, issued April 13, 1979, <http://www.scc.virginia.gov/boi/adminlets/79-12.pdf>

Administrative Letter 1979-14, 1979 Legislation Pertaining to Life Insurance and Accident and Sickness Insurance, issued May 10, 1979, §§ 38.2-508.3 (formerly § 38.1-52 (7) (c)), 38.2-3407 (formerly § 38.1-347.2), 38.2-3408 (formerly § 38.1-347.1), 38.2-3412 (formerly § 38.1-348-7) and 38.2-3541 (formerly § 38.1-348-11), <http://www.scc.virginia.gov/boi/adminlets/79-14.pdf>

Administrative Letter 1979-15, 1979 Legislation Pertaining to Fire Insurance, Homeowners Insurance and Motor Vehicle Insurance, issued May 18, 1979, §§ 38.2-2105 (formerly § 38.1-366), 38.2-2206 (formerly § 38.1-381), 38.2-2214 (formerly § 38.1-381.7), 8.01-66, 8.01-66.1 and 46.2-372 (formerly § 46.1-400), <http://www.scc.virginia.gov/boi/adminlets/79-15.pdf>

Administrative Letter 1979-17, Single Interest Coverage, issued June 4, 1979, <http://www.scc.virginia.gov/boi/adminlets/79-17.pdf>

Administrative Letter 1979-20, Adoption of Actuarial Guidelines by the Bureau of Insurance (for All Foreign Life Insurance Companies Licensed in Virginia), issued August 14, 1979, §§ 38.2-3130 through 38.2-3142 (formerly § 38.1-456(6)), <http://www.scc.virginia.gov/boi/adminlets/79-20.pdf>

Administrative Letter 1979-21, Adoption of Actuarial Guidelines for Domestic Life Insurance Companies by the Bureau of Insurance (for All Domestic Life Insurance Companies Licensed in Virginia), issued August 14, 1979, §§ 38.2-3130 through 38.2-3142 (formerly § 38.1-456(6)), <http://www.scc.virginia.gov/boi/adminlets/79-21.pdf>

Administrative Letter 1979-22, The Arson Reporting Immunity Act, issued August 30, 1979, <http://www.scc.virginia.gov/boi/adminlets/79-22.pdf>

Administrative Letter 1979-23, Readability of All Insurance (Property and Casualty) Policies in Virginia, issued September 27, 1979, <http://www.scc.virginia.gov/boi/adminlets/79-23.pdf>

Administrative Letter 1979-24, Readability of All Insurance (Life and Health) Policies in Virginia, issued September 27, 1979, <http://www.scc.virginia.gov/boi/adminlets/79-24.pdf>

Administrative Letter 1979-25, Single Interest, issued October 2, 1979, <http://www.scc.virginia.gov/boi/adminlets/79-25.pdf>

Administrative Letter 1980-1, Adoption of 14VAC5-320 (formerly Insurance Regulation No. 15): "Rules Governing Reserve Standards for Accident and Sickness Insurance Policies," issued January 18, 1980, 14VAC5-320 (formerly Insurance Regulation No. 15), <http://www.scc.virginia.gov/boi/adminlets/80-1.pdf>

Administrative Letter 1980-5, 1980 Legislation by the General Assembly of Virginia, issued May 9, 1980, <http://www.scc.virginia.gov/boi/adminlets/80-5.pdf>

Administrative Letter 1980-6, Homeowners Insurance (Filing Rate Adjustments for Having Smoke Detectors), issued May 13, 1980, <http://www.scc.virginia.gov/boi/adminlets/80-6.pdf>

Administrative Letter 1980-8, Insurance Regulation No. 13, issued June 16, 1980 (replaced Administrative Letter 1980-4), <http://www.scc.virginia.gov/boi/adminlets/80-8.pdf>

Administrative Letter 1980-12, Assignment of Points - Safe Driver Insurance Plan, issued November 10, 1980, §§ 38.2-1904 (formerly § 38.1-279.33) and 38.2-2212 (formerly § 38.1-381.5), <http://www.scc.virginia.gov/boi/adminlets/80-12.pdf>

Administrative Letter 1980-13, Deductibles and Coinsurance Options Required - Accident and Sickness Insurance and Prepaid Hospital, Medical, Surgical, Dental or Optometric Service Plans (Virginia Senate Bill 184-1980), issued November 17, 1980, § 38.2-3417 (formerly § 38.1-348.12), <http://www.scc.virginia.gov/boi/adminlets/80-13.pdf>

Administrative Letter 1981-2, Deductible and Coinsurance Options, issued March 23, 1981, Repeals § 38.1-348.12 and Enacts § 38.2-3417 (formerly § 38.1-348.12:1), <http://www.scc.virginia.gov/boi/adminlets/81-2.pdf>

Administrative Letter 1981-3, 1981 Legislation by the General Assembly of Virginia (Pertaining to All Insurance Companies, Fraternal Benefit Societies and Prepaid Health Care Plans Licensed in Virginia), issued May 1, 1981, <http://www.scc.virginia.gov/boi/adminlets/81-3.pdf>

Administrative Letter 1981-5, 1981 Legislation - Effective July 1, 1981 (House Bill 1024/Pertaining to the Regulation of Insurance Premium Finance Companies) issued June 5,

1981, §§ 38.2-4700 et seq. (formerly §§ 38.1-735 through 38.1-745),

<http://www.scc.virginia.gov/boi/adminlets/81-5.pdf>

Administrative Letter 1981-6, 1981 Legislation - Effective July 1, 1981 (Reimbursement to Members for Expense Incurred for Emergency Road Service or Towing Service), issued June 5, 1981, § 13.1-400.1, <http://www.scc.virginia.gov/boi/adminlets/81-6.pdf>

Administrative Letter 1981-9, Mortgage Guaranty Insurance Policies, issued August 19, 1981, <http://www.scc.virginia.gov/boi/adminlets/81-9.pdf>

Administrative Letter 1981-10, Risk Sharing Arrangements (replacement for Administrative Letter 1980-7), issued August 13, 1981, § 38.2-1314 (formerly § 38.1-173), <http://www.scc.virginia.gov/boi/adminlets/81-10.pdf>

Administrative Letter 1981-12, Mortgage Guaranty Insurance on Variable Rate Mortgages (clarification of Administrative Letter 1981-9), issued September 11, 1981, <http://www.scc.virginia.gov/boi/adminlets/81-12.pdf>

Administrative Letter 1981-14, Mortgage Guaranty Insurance on Variable Rate Mortgages Allowing Negative Amortization, issued September 30, 1981, <http://www.scc.virginia.gov/boi/adminlets/81-14.pdf>

Administrative Letter 1981-17, 1981 Legislation by the General Assembly of Virginia, issued November 19, 1981, <http://www.scc.virginia.gov/boi/adminlets/81-17.pdf>

Administrative Letter 1982-2, Credit Life and Health Insurance, issued January 19, 1982, § 38.2-3729 (formerly § 38.1-482.8), <http://www.scc.virginia.gov/boi/adminlets/82-2.pdf>

Administrative Letter 1982-3, 14VAC5-340 (formerly Insurance Regulation No. 17) and the Commissioner's Order Entered May 19, 1981 in Case No. INS800067 - Minimum Standards for Coverage Content of Fire and Homeowner Insurance Policies, issued February 19, 1982, 14VAC5-340 (formerly Insurance Regulation No. 17), <http://www.scc.virginia.gov/boi/adminlets/82-3.pdf>

Administrative Letter 1982-5, 1982 Legislation by the General Assembly of Virginia, issued April 30, 1982, <http://www.scc.virginia.gov/boi/adminlets/82-5.pdf>



Administrative Letter 1982-6, Changes in the Insurance Code of Virginia Regarding Credit Life Insurance and Credit Accident and Sickness Insurance, issued May 6, 1982, <http://www.scc.virginia.gov/boi/adminlets/82-6.pdf>

Administrative Letter 1982-10, Motor Vehicle Service Contracts, issued May 20, 1982, §§ 38.2-124 and 38.2-125 (formerly § 38.1-21), <http://www.scc.virginia.gov/boi/adminlets/82-10.pdf>

Administrative Letter 1982-13, Competitive Pricing Rating Law Chapter 226 (H213), 1982 Acts of Assembly Rate Standards - Motor Vehicle Insurance, issued May 28, 1982, § 38.2-1904 (formerly § 38.1-279.33), <http://www.scc.virginia.gov/boi/adminlets/82-13.pdf>

Administrative Letter 1982-16, Vehicle Service Contract Reimbursement Policies - Contractual Liability Insurance, issued December 21, 1982, <http://www.scc.virginia.gov/boi/adminlets/82-16.pdf>

Administrative Letter 1982-17, Compilation of Experience §§ 38.1-261 and 38.1-279.46, issued December 21, 1982, §§ 38.2-2012 (formerly § 38.1-261) and 38.2-1919 (formerly § 38.1-279.46), <http://www.scc.virginia.gov/boi/adminlets/82-17.pdf>

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Administrative Letter 2013-02, Revisions to the Virginia Insurance Continuing Education Program Requirements Effective January 1, 2013, issued, February 1, 2013, <http://www.scc.virginia.gov/boi/adminlets/13-02.pdf>

Administrative Letter 2013-03, 14VAC5-190: Rules Governing the Reporting of Cost and Utilization Data Relating to Mandated Benefits and Mandated Providers - 2012 Reporting Period, issued March 8, 2013, <http://www.scc.virginia.gov/boi/adminlets/13-03.pdf>

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Administrative Letter 2014-02, Premium Tax and Assessment Practices and Procedures, Withdrawal of Administrative Letter 2010-08 Dated July 28, 2010, issued January 28, 2014, <http://www.scc.virginia.gov/boi/adminlets/14-02.pdf>

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Administrative Letter 2015-04, Rules Governing the Reporting of Cost and Utilization Data Relating to Mandated Benefits and Mandated Providers - 2014 Reporting Period, issued March 12, 2015, <https://www.scc.virginia.gov/boi/adminlets/15-04.pdf>

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Administrative Letter 2015-10, Insurance-Related Legislation Enacted by the 2015 Virginia General Assembly, issued May 20, 2015, <https://www.scc.virginia.gov/boi/adminlets/15-10.pdf>

Administrative Letter 2015-11, Assessment Practices and Procedures Replacement of Administrative Letter 2014-01, issued October 1, 2015,  
<https://www.scc.virginia.gov/boi/adminlets/15-11.pdf>

Administrative Letter 2015-12, Credit Life Insurance and Credit Accident and Sickness Insurance Premium Rates Effective January 1, 2016, issued October 1, 2015,  
<https://www.scc.virginia.gov/boi/adminlets/15-12.pdf>

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Administrative Letter 2016-02, Rules Governing Long Term Care Insurance [14VAC5-200-125](#) Annual Rate Reports, issued March 23, 2016, <http://scc.virginia.gov/boi/adminlets/16-02.pdf>

Administrative Letter 2016-03, Compliance with Statutory Rate Standards in File and Use Lines of Insurance (Price Optimization), issued April 15, 2016,  
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Administrative Letter 2016-05, Mandatory Notices; Withdrawal of [Administrative Letter 2015-05](#) - All Companies Licensed to Write Fire and Fire in Combination with Other Coverages Including Policies Providing Homeowners Coverage, Coverage on Owner-Occupied Dwellings, and Coverage for Tenants; and Interested Parties, issued July 1, 2016,  
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Administrative Letter 2016-06, Mandatory Notices; Withdrawal of [Administrative Letter 2015-06](#) - All Insurers Licensed to Write Motor Vehicle Policies and Interested Parties, issued July 1, 2016, <http://scc.virginia.gov/boi/adminlets/16-06.pdf>

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Administrative Letter 2017-02, Insurance-Related Legislation Enacted by the 2017 Virginia General Assembly, Issued M 4, 2017, <http://scc.virginia.gov/boi/adminlets/17-02.pdf>

Administrative Letter 2017-03, Appraisal and Arbitration Provisions in Insurance Policies; [Withdrawal and Replacement](#) of [Administrative Letter 1998-12](#), Issued September 15, 2017, <http://scc.virginia.gov/boi/adminlets/17-03.pdf>

Administrative Letter 2017-04, Closing Protection Letters – Notifies Title Insurance Companies that CPL Charges Should be Reported as Direct Premiums Written and Not as Other Income, Issued November 3, 2017, <http://scc.virginia.gov/boi/adminlets/17-04.pdf>

#### **Financial Regulation Unit Guidance Documents:**

Future Year-End Reserve Valuation Submissions to the Virginia Bureau of Insurance, January 1993, (This letter is available upon request from the Actuarial Support Section of the Financial Regulation Division by calling (804) 371-9589).

Future Year-End Reserve Valuation Submissions Other Than by Hard Copy to the Virginia Bureau of Insurance, September 2002, (This letter is available upon request from the Actuarial Support Section of the Financial Regulation Division by calling (804) 371-9589).

Future Year-End Reserve Valuation Submissions Other Than by Hard Copy to the Virginia Bureau of Insurance, November 2005, (This letter is available upon request from the Actuarial Support Section of the Financial Regulation Division by calling (804) 371-9589).

Letter to Insurers Prior to an Examination Specifying the Date of the Upcoming Examination and Requesting Specific Documentation the Insurer is to Provide to the Bureau of Insurance Staff, revised December 2014, (This letter is available upon request from the Financial Examination Section of the Financial Regulation Division by calling (804) 371-9123).

Annual renewal letters for all entities licensed, approved, registered, authorized, accredited, or certified by the Virginia Bureau of Insurance, December 2016, (This letter is available upon request from the Financial Analysis Section of the Financial Regulation Division by calling (804) 371-9869).

The following documents are available at <http://scc.virginia.gov/boi/co/miscforms.aspx>:

Certified Reinsurers, Form CR-F and Instructions for Form CR-F

Certified Reinsurers Form CR-S and Instructions for Form CR-S

The following documents are available at [http://www.scc.virginia.gov/boi/co/lic\\_reg.aspx](http://www.scc.virginia.gov/boi/co/lic_reg.aspx):

Dental Plan Organizations Requirements for Organizing and Licensing in Virginia, revised April 2012, § 38.2-6102

Instructions for Completing the Initial Reinsurance Intermediary License Application, revised April 2007, § 38.2-1348

Requirements for Surplus Lines Approval in Virginia for an Alien Insurer, revised January 2016, § 38.2-4805.1

Requirements for Surplus Lines Approval in Virginia for a Foreign Carrier, revised January 2016, § 38.2-4805.1

Application for the Establishment of a Managed Care Health Insurance Plan (MCHIP), revised July 2011, § 38.2-5800

Home Protection Company Requirements for Organizing and Licensing in Virginia, revised August 2012, §§ 38.2-1024 and 38.2-2603



Home Service Contract Provider Requirements for Organizing and Licensing in Virginia, revised March 2016, Article 2 of Chapter 26 of Title 38.2

Captive Insurers Requirements for Organizing and Licensing in Virginia, revised April 2012, §§ 38.2-1024 and 38.2-1102

Health Services Plan Requirements for Organizing and Licensing in Virginia, revised April 2012, § 38.2-4200

Health Maintenance Organizations Requirements for Organizing and Licensing in Virginia, revised April 2012, § 38.2-4301

Limited Health Maintenance Organizations Requirements for Organizing and Licensing in Virginia, revised April 2012, § 38.2-4301

Virginia Legal Services Plan Requirements for Organizing and Licensing in Virginia, revised April 2012, § 38.2-4413

Dental Services Plan Requirements for Organizing and Licensing in Virginia, revised September 2014, § 38.2-4517

Optometric Services Plan Requirements for Organizing and Licensing in Virginia, revised September 2014, § 38.2-4517

Insurance Premium Finance Company Requirements for Organizing and Licensing in Virginia, revised August 2015, § 38.2-4701

Community-Based Continuing Care Providers Registration and Disclosure Filing Guidelines, August 2012, § 38.2-4919

Continuing Care Providers Registration and Disclosure Filing Guidelines, revised August 2012, § 38.2-4901

Viatical Settlement Providers Requirements for Operating in Virginia, revised September 2014, § 38.2-6002

Multiple Employer Welfare Arrangements Requirements for Operating in Virginia, revised January 2014, Article 3 of Chapter 34 of Title 38.2

Requirements for Accredited Substantially Similar, and Trusteed Reinsurers, October 2013, § 38.2-1316.2

Requirements for Certified Reinsurers, October 2013, § 38.2-1316.2 B

Requirements for Organizing and Licensing of a Group Self-Insurance Association, revised December 2010, § 65.2-802

Licensing Procedures for Managing General Agents to Obtain Authority in Virginia (Procedures, Instructions and Application), revised October 2005, § 38.2-1359

Information Concerning Purchasing Group Registration, August 2016, § 38.2-5108

Information Concerning Risk Retention Group Registration, September 2014, §§ 38.2-5102 and 38.2-5103

The following document is available at [http://www.naic.org/industry\\_ucaa.htm](http://www.naic.org/industry_ucaa.htm):

Uniform Certificate of Authority Application, revised August 2014, §§ 38.2-1024 and 38.2-1206,

The following documents are available at <http://www.scc.virginia.gov/boi/co/holdco.aspx>:

Form A, Instructions for Application for Approval of Acquisition of Control of or Merger with a Domestic Insurer Pursuant to § 38.2-1323, revised January 2015, 14VAC5-260

Form B, Instructions for Insurance Holding Company System Annual Registration Statement Pursuant to § 38.2-1329, revised January 2015, 14VAC5-260

Form C, Instructions for Summary of Changes to Registration Statement Pursuant to § 38.2-1329, revised January 2015, 14VAC5-260

Form D, Instructions for Prior Notice and Application for Approval of Certain Transactions Pursuant to § 38.2-1330 B, revised January 2015, 14VAC5-260

Form E, Instructions for Pre-Acquisition Notification Form Regarding the Potential Competitive Impact of a Proposed Merger or Acquisition by a Nondomiciliary Insurer Doing Business in this Commonwealth or by a Domestic Insurer Pursuant to § 38.2-1323, revised January 2015, 14VAC5-260

Form F, Instructions for Enterprise Risk Report Pursuant to § 38.2-1329 L, May 2015, 14VAC5-260

Form G, Instructions for Notice of Dividends and Distributions to Shareholders Pursuant to §§ 38.2-1329 F and 38.2-1330.1, revised January 2015, 14VAC5-260

The following documents are available at [http://www.scc.virginia.gov/boi/co/an\\_renew.aspx](http://www.scc.virginia.gov/boi/co/an_renew.aspx)

NAIC Financial Standard State Filing Checklists for filings due in 2017 for Fraternal Societies, Health Organizations, Life, Accident and Health Companies, Property and Casualty Companies, and Title Companies

Virginia Specific Financial and License Renewal Forms:

Form R01, [Analysis of Excess Capital and Surplus Investments Report](#)

Form R2A, [Application for Renewal of License](#)

Form R2B, Application for Renewal of License - Fraternal Benefit Society

Form R17, [Application for Renewal of License - Home Service Contract Provider](#)

Form R03, [Audited Financial Statements Exemption Affidavit](#)

Form R05, [Certificate of Assuming Insurer](#)

Form R05Q, [Certificate of Assuming Insurer Quarterly Update](#)

Form R15, Certificate of Certified Reinsurer

Form R06, [Costs of HMO's Indemnification and Nonparticipating Referral Provider Arrangements](#)

Form R18, [Home Service Contract Provider Demographic Information and Requirements for Doing Business in Virginia](#)

Form R19, [Multiple Employer Welfare Arrangement Policy Verification](#)

[Multiple Employer Welfare Arrangement Renewal](#)

[PG Annual Renewal](#)

[Premium Finance Annual Statement Form](#)

Form R08, [Producer-Controlled Insurer Report](#)

[Reinsurance Intermediary License Renewal Application](#)

Form R09, [Report of Assessable Ocean and Inland Marine Premium](#)

Form R10, [Report of Assets Pledged, Hypothecated or Encumbered](#)

Form R12, [Request for Information Regarding Reinsurance Intermediaries \(RIs\)](#)

Form R13, [Statement of Material Changes](#)

Form R14, [Supplementary Statement of Covered and Uncovered Expenses](#)

Form R16, [Surplus Lines Annual Filing Information](#)

**Market Regulation Unit Guidance Documents:**

Assigned Risk Workers' Compensation Rates, revised April 2017,

[http://scc.virginia.gov/boi/co/pc/ar\\_wcomp.aspx](http://scc.virginia.gov/boi/co/pc/ar_wcomp.aspx)

Common Problems Found during Agent Investigations, revised August 1, 2015,

<http://www.scc.virginia.gov/boi/pro/files/comprob.pdf>

Common Problems Found during Life and Health Market Conduct Examinations, revised April

2015, [http://www.scc.virginia.gov/boi/co/mkt\\_conduct/lh\\_prob.pdf](http://www.scc.virginia.gov/boi/co/mkt_conduct/lh_prob.pdf)

Common Problems for Real Estate Settlement Agents (RESA), updated periodically, § 55.525.16 and 14VAC5-395, <http://www.scc.virginia.gov/boi/pro/resa/agentresa.pdf>

Credit Insurance Experience Exhibits Questionnaire, revised 10/6/16, <http://www.scc.virginia.gov/boi/co/miscforms.aspx>

Forms/Reports for Insurers: Long-Term Care (14VAC5-200), Small Employer (14VAC5-234), Medicare Supplement (14VAC5-170), and Mandated Benefits (Form MB-1 and instructions) (14VAC5-190), <http://www.scc.virginia.gov/boi/co/health/ltcforms.aspx>, <http://www.scc.virginia.gov/boi/co/health/index.aspx>, <http://www.scc.virginia.gov/boi/co/health/medsup.aspx>, and <http://www.scc.virginia.gov/boi/co/health/mandben.aspx>

Letter to Newly Licensed Insurers Advising the Insurers of the Applicable Insurance Rules and Regulations in the Commonwealth of Virginia, revised 2001, (This letter is available upon request from the Forms and Rates Section of the Life and Health Division by calling (804) 371-9110).

Market Issues Identified by the Market Conduct and Consumer Services Section, revised January 2017, [http://www.scc.virginia.gov/boi/co/mkt\\_conduct/pc\\_prob.pdf](http://www.scc.virginia.gov/boi/co/mkt_conduct/pc_prob.pdf)

NAIC Product Review Filing Checklists for Life and Health, revised September 2014, [http://www.scc.virginia.gov/boi/co/health/lh\\_check.aspx](http://www.scc.virginia.gov/boi/co/health/lh_check.aspx)

NAIC Product Review Filing Checklists for Property and Casualty, revised August 2011, [http://www.scc.virginia.gov/boi/co/pc/check/pc\\_ins\\_index.pdf](http://www.scc.virginia.gov/boi/co/pc/check/pc_ins_index.pdf)

Virginia Bureau of Insurance Rates and Policy Forms Search Engine, 2012, Life and Health, and Property and Casualty, <http://www.scc.virginia.gov/boi/SERFFInquiry/default.aspx>

Statistical Report Form (VA SRF-2), revised 2016, [http://www.scc.virginia.gov/boi/co/pc/files/stat\\_rept.pdf](http://www.scc.virginia.gov/boi/co/pc/files/stat_rept.pdf)

Virginia Property and Casualty Product Requirements Locator, revised July 2013, <https://eapps.naic.org/prl/do/search/home>

Virginia Property and Casualty Filing Guidelines Handbook, revised June 2015,  
[http://www.scc.virginia.gov/boi/co/pc/files/pc\\_handbook.pdf](http://www.scc.virginia.gov/boi/co/pc/files/pc_handbook.pdf)

Workers' Compensation Voluntary Market Loss Costs Multipliers, revised June 2017,  
[http://www.scc.virginia.gov/boi/co/pc/files/wclc\\_mult.pdf](http://www.scc.virginia.gov/boi/co/pc/files/wclc_mult.pdf)

### **Administration and Assessment Unit Guidance Documents:**

Virginia Assessments Reports for Year Ended December 31, 2016, revised December 2016,  
<http://ex.scctest2new.scc.state.va.us/boi/co/assess/filing.aspx>

Administrative Letter 2014-02, Premium Tax and Assessment Practices and Procedures,  
issued January 28, 2014, <http://www.scc.virginia.gov/boi/adminlets/2014.aspx>

Administrative Letter 2015-11, Assessment Practices and Procedures, Replacement of  
Administrative Letter 2014-01, issued October 1, 2015,  
<http://scc.virginia.gov/boi/adminlets/15-11.pdf>

Consumer Assistance and Outreach Services Brochure, revised June 2013,  
<http://www.scc.virginia.gov/boi/pubs/outreach.pdf>

### **Life and Health Consumer Guides:**

10 Tips to Help You Understand Your Coverage and Rights under Your Managed Care Health  
Insurance Plan, revised October 2005, <http://www.scc.virginia.gov/boi/omb/tentips.aspx>

2016 Choosing a Medigap Policy: A Guide to Health Insurance for People with Medicare,  
published December 2013, <http://www.scc.virginia.gov/boi/pubs/02110.pdf>

2018 Medicare Premiums, Deductibles, and Co-insurance, revised December 2017,  
<http://www.scc.virginia.gov/boi/pubs/medchange.pdf>

2018 Part D Medicare Prescription Drug Plans in Virginia, revised September 2017,  
<http://www.scc.virginia.gov/boi/pubs/medcaredrug.pdf>

2018 Part C Medicare Health Plans in Virginia, revised September 2017,  
<http://www.scc.virginia.gov/boi/pubs/medcarehlth.pdf>

2018 Tax Qualified Long-Term Figures, published November 2017,  
[http://www.scc.virginia.gov/boi/pubs/ltc\\_taxqual.pdf](http://www.scc.virginia.gov/boi/pubs/ltc_taxqual.pdf)

A Shopper's Guide to Cancer Insurance, revised July 2007, (Available upon request from the Life and Health Consumer Services Section by calling (804) 371-9691)

A Buyer's Guide to Long-Term Care Insurance, revised December 2013, (Available upon request from the Life and Health Consumer Services Section by calling (804) 371-9691)

Advance Health Care Directive Registry, [http://www.scc.virginia.gov/boi/pubs/ahd\\_regis.pdf](http://www.scc.virginia.gov/boi/pubs/ahd_regis.pdf)

Appointment of Authorized Representative, revised July 2011,  
<http://www.scc.virginia.gov/boi/omb/files/216b.pdf>

Consumer Assistance - Managed Care Health Insurance Plans,  
<http://www.scc.virginia.gov/boi/omb/mchip.aspx>

Consumer Assistance and Outreach Services Brochure, revised June 2013,  
<http://www.scc.virginia.gov/boi/pubs/outreach.pdf>

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State Health Exchanges: What You Need to Know to (Re) Enroll,  
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Virginia Life Insurance Consumer's Guide, revised 2017, <http://www.scc.virginia.gov/boi/pubs/lifeguide.pdf>

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What to Do If a Health Insurance Company Denies Your Claim, published August 2008, [http://www.scc.virginia.gov/boi/pubs/naic\\_deny.pdf](http://www.scc.virginia.gov/boi/pubs/naic_deny.pdf)

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Auto Insurance Sample Premium Tables, revised 2017/2018, [http://www.scc.virginia.gov/boi/pubs/auto\\_sampprem.pdf](http://www.scc.virginia.gov/boi/pubs/auto_sampprem.pdf)

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Teenager's Guide to Auto Insurance, revised 2006,  
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Title Insurance Consumer's Guide, 2009, <http://www.scc.virginia.gov/boi/pubs/titleguide.pdf>

Virginia Commercial Insurance Consumer's Guide, revised 2012,  
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Form 4052, Application for Business Entity Insurance License, March 2014,  
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Form PA-2, Bond for Public Adjusters, July 2014,  
<http://www.scc.virginia.gov/publicforms/603/pa2bond.pdf>

## **Division of Securities and Retail Franchising**

Copies of the following documents may be viewed during regular work days from 8:15 a.m. until 5 p.m. in the State Corporation Commission, Division of Securities and Retail Franchising, 9th Floor, Tyler Building, 1300 East Main Street, Richmond, VA 23219. The mailing address is P.O. Box 1197, Richmond, VA 23218-1197. Copies may be obtained free of charge by contacting Kathy O'Sullivan at the same address, telephone (804) 371-9784, or FAX (804) 371-9911.

Questions regarding interpretation or implementation of these documents may be directed to Amanda Blanks, Investor Education Coordinator, at the same address, telephone (804) 371-9088, or FAX (804) 371-9911.

### **Guidance Documents:**

Capital Formation Alternatives for Small Business in Virginia, October 2013,  
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Securities Complaint Form, June 2003 (Virginia Securities Act),  
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Non-FINRA Broker-Dealer or Issuer Agents to be Renewed Exhibit (Form S.D. 4 A), 1974,  
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<http://www.scc.virginia.gov/srf/bus/forms.aspx>

Uniform Termination Notice for Securities Industry Registration (Form U-5), May 2009,  
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Agent Multiple Employment Agreement (Form S.A. 16), July 2007,  
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Affidavit for Waiver of Examination (Form S.A. 3), July 1999,  
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#### Securities Registration

Intrastate Crowdfunding Exemption (ICE) Notice Filing Form (Form ICE), July 2015,  
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Uniform Application to Register Securities (Form U-1), December 2017,  
<http://www.scc.virginia.gov/publicforms/280/u1.pdf>

Uniform Consent to Service of Process (Form U-2), December 2017,  
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Registration by Notification - Pursuant to 21VAC5-30-50 Non-Issuer Distribution "Secondary Trading" (Form S.A. 6), 1989, <http://www.scc.virginia.gov/publicforms/285/sa6.pdf>

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Impounding Agreement (Form S.A. 13), July 1999,  
<http://www.scc.virginia.gov/publicforms/288/sa13.pdf>

Notice of Limited Offering of Securities (Form VA-1), November 1996,  
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Model Accredited Investor Exemption Uniform Notice of Transaction Form (Form Model Form), July 1999, <http://www.scc.virginia.gov/publicforms/291/model.pdf>

Application for Coordinated State Review - Coordinated Review-Equity (Form CR-Equity-1), August 2003, [http://www.scc.virginia.gov/publicforms/292/cr\\_equity1.pdf](http://www.scc.virginia.gov/publicforms/292/cr_equity1.pdf)

Small Business Securities Offering Application for Mid-Atlantic Regional Review Form (Form CR-SCOR Mid-Atlantic), May 2002, [http://www.scc.virginia.gov/publicforms/293/cr\\_scor.pdf](http://www.scc.virginia.gov/publicforms/293/cr_scor.pdf)

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#### **Virginia Retail Franchising Act Forms:**

Uniform Franchise Registration Application (Form A), July 2008,  
<http://www.scc.virginia.gov/publicforms/294/forma.pdf>

Franchisor's Costs and Sources of Funds (Form B), July 2008,  
<http://www.scc.virginia.gov/publicforms/295/formb.pdf>

Uniform Franchise Consent to Service of Process (Form C), July 2008,  
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Affidavit of Compliance - Franchise Amendment and Renewal (Form E), July 2008,  
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Guarantee of Performance (Form F), March 2013,  
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Notice of Claim of Exemption (Form H), July 2008,  
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### **Virginia Trademark Act Forms:**

Application for Registration of a Trademark or Service Mark (Form TM1), November 2014,  
<http://www.scc.virginia.gov/publicforms/304/tmapp.pdf>

Application for Renewal Registration of a Trademark or Service Mark (Form TM2), November 2014, <http://www.scc.virginia.gov/publicforms/305/tm2.pdf>

Certificate of Name Change of an Applicant or Registrant (Form TM3), November 2014,  
<http://www.scc.virginia.gov/publicforms/306/tm3.pdf>

Assignment of Trademark or Service Mark Registration (Sample TM4), November 2014,  
<http://www.scc.virginia.gov/publicforms/307/tm4.pdf>

### **Division of Utility and Railroad Safety**

Copies of the following documents may be viewed during regular work days from 8:15 a.m. to 5 p.m. in the office of the State Corporation Commission, Division of Utility and Railroad Safety, 4th Floor, Tyler Building, 1300 East Main Street, Richmond, VA 23219. The mailing address is P.O. Box 1197, Richmond, VA 23218. Copies may be obtained at a charge of \$ .50 per page. To obtain copies, contact Renee Salmon at the same address, telephone (804) 371-9947, FAX (804) 371-9734, or email [renee.salmon@scc.virginia.gov](mailto:renee.salmon@scc.virginia.gov). Some of the documents may be downloaded from the division website at <http://www.scc.virginia.gov/urs/mutility/pubs.aspx>.

Questions regarding interpretation or implementation of these documents may be directed to Shane Ayers, Deputy Director, Division of Utility and Railroad Safety, 1300 East Main

Street, 4th Floor, Richmond, VA 23219, telephone (804) 371-9561, FAX (804) 371-9734, or email shane.ayers@scc.virginia.gov. The mailing address is P.O. Box 1197, Richmond, VA 23218-1197.

**Outreach Documents:**

Marking Color Code Card, 2 pages,

<http://www.scc.virginia.gov/urs/mutility/docs/colorcode.pdf>

Virginia Professional Excavator's Manual, revised April 2014, 90 pages,

<http://www.scc.virginia.gov/urs/mutility/docs/exman.pdf>

Homeowner's Brochure, March 2015, 2

pages, <http://www.scc.virginia.gov/urs/mutility/docs/hobroch.pdf>

Virginia Underground Utility Marking Standards, February 2014, 24 pages,

[http://www.scc.virginia.gov/urs/mutility/docs/va\\_uums.pdf](http://www.scc.virginia.gov/urs/mutility/docs/va_uums.pdf)

Exposing Underground Utility Lines Requirements and Best Practices, August 2005, 11 pages,

[http://www.scc.virginia.gov/urs/mutility/docs/exp\\_bp.pdf](http://www.scc.virginia.gov/urs/mutility/docs/exp_bp.pdf)

Impact Mole Requirements and Best Practices, January 2011, 14 pages,

[http://www.scc.virginia.gov/urs/mutility/docs/imole\\_bp.pdf](http://www.scc.virginia.gov/urs/mutility/docs/imole_bp.pdf)

Trenchless Excavation Requirements and Best Practices, January 2011, 14 pages,

<http://www.scc.virginia.gov/urs/mutility/docs/te.pdf>

Liquefied Petroleum Gas: A Guide to Understanding Regulatory Requirements in Virginia,

May 2016, 12 pages, <http://www.scc.virginia.gov/urs/pipe/lpgguide.pdf>

Plumbers Beware: A Safety Precautions Brochure, July 2007, 2 pages,

<http://www.scc.virginia.gov/urs/mutility/docs/plumber.pdf>

Coloring Book for Children: Wally's Digging Adventure, 20 pages,

<http://www.scc.virginia.gov/urs/mutility/docs/color.pdf>

Procedural Guidelines for Enforcement of Pipeline Safety Standards, October 2017, 3 pages,  
<http://www.scc.virginia.gov/urs/pipe/enfpps.pdf>

For copies of the following DVDs, email [vadamageprevention@scc.virginia.gov](mailto:vadamageprevention@scc.virginia.gov):

Dig with C.A.R.E. Keep Virginia Safe, Training DVD, English and Spanish versions, August 2008

Dig with C.A.R.E. Keep Virginia Safe, Requirements and Best Practices for Trenchless  
Excavation, Training DVD, English and Spanish versions, January 2011

Wally's Digging Adventure DVD, July 2010. A children's DVD for use in conjunction with the  
Wally's Digging Adventure Coloring Book for Children.

### **Advisory Committee Information:**

Damage Prevention Advisory Committee Bylaws, December 2017, § 56-265.31 et seq., 5  
pages, <http://www.scc.virginia.gov/urs/mutility/docs/bylaws.pdf>

### **La información en Español:**

CARE Folleto: Virginia Guía para Excavar o Demoler sin Peligro, May 2007, 2 pages,  
<http://www.scc.virginia.gov/urs/mutility/docs/folleto.pdf>

Tarjeta de Código de Colores, 2 pages,  
<http://www.scc.virginia.gov/urs/mutility/docs/colores.pdf>

### **Division of Utility Accounting and Finance**

Copies of the following documents may be viewed during regular work days from 8:15 a.m.  
until 5 p.m. in the Virginia State Corporation Commission, Division of Utility Accounting and  
Finance, 1300 East Main Street, 4th Floor, Richmond, VA 23219. The mailing address is P.O.  
Box 1197, Richmond, VA 23218-1197. Contact Yolanda Suitte at (804) 371-9700 to make an  
appointment. Copies may be obtained at the cost of \$ .50 per page.

Questions regarding interpretation or implementation of these documents may be directed  
to Kimberly Pate, Director, or Kent Peterson, Patrick Carr, Scott Armstrong, or Lawrence T.  
Oliver, Deputy Directors, Division of Utility Accounting and Finance, 1300 East Main Street,

4th Floor, Richmond, VA 23219, telephone (804) 371-9950, or FAX (804) 371-9447. The mailing address is P.O. Box 1197, Richmond, VA 23218-1197. Some of the listed documents may be downloaded from the Division of Utility Accounting and Finance Section on the State Corporation Commission's website at <http://www.scc.virginia.gov>. Hard copies are available. Contact the Division of Utility Accounting and Finance at (804) 371-9950 or by email at [Accounting@scc.virginia.gov](mailto:Accounting@scc.virginia.gov).

**Guidance Documents:**

Uniform System of Accounts for Telecommunications Companies, Part 32 of Federal Communications Commission Rules and Regulations, revised October 1, 2016 § 56-249

Uniform System of Accounts for Electric Utilities, Part 101 promulgated by the Federal Energy Regulatory Commission, revised April 1, 2017, § 56-249

Uniform System of Accounts for Natural Gas Companies, Part 201 promulgated by the Federal Energy Regulatory Commission, revised April 1, 2017, § 56-249

Uniform System of Accounts for Class A Water Utilities, promulgated by the National Association of Regulatory Utility Commissioners, revised 1996, 144 pages, § 56-249

Uniform System of Accounts for Class C Water Utilities, promulgated by the National Association of Regulatory Utility Commissioners, revised 1996, 62 pages, § 56-249

Uniform System of Accounts for Class A Wastewater Utilities, promulgated by the National Association of Regulatory Utility Commissioners, revised 1996, 145 pages, § 56-249

Uniform System of Accounts for Class C Wastewater Utilities, promulgated by the National Association of Regulatory Utility Commissioners, revised 1996, 61 pages, § 56-249

Accounting Requirements for Rural Utilities Service Electric Borrowers, Electric Cooperatives, Part 1767 promulgated by the Department of Agriculture, revised January 1, 2017, § 56-249

**Forms for Annual Reports:**

Annual Financial and Operating Report for Electric Companies, consisting of the Federal Energy Regulatory Commission Form 1 and supplemental schedules, § 56-249. Length of report varies by company.

Annual Financial and Operating Report for Gas Companies, consisting of the Federal Energy Regulatory Commission Form 2 and supplemental schedules, § 56-249. Length of report varies by company.

Annual Financial and Operating Report for Telephone Companies, § 56-249. Length of report varies by company, [http://www.scc.virginia.gov/uaf/TelephoneRequestForm\\_resp.aspx](http://www.scc.virginia.gov/uaf/TelephoneRequestForm_resp.aspx)

Annual Financial and Operating Report for Class A Water and/or Sewer Companies, National Association of Regulatory Utility Commissioners Form, § 56-249. Length of report varies by company.

Annual Financial and Operating Report for Class C Water and/or Sewer Companies, National Association of Regulatory Utility Commissioners Form, § 56-249. Length of report varies by company, [http://www.scc.virginia.gov/uaf/WaterRequestForm\\_resp.aspx](http://www.scc.virginia.gov/uaf/WaterRequestForm_resp.aspx)

**Guidelines:**

Guidelines for Filing Affiliate/Merger Applications (Title 56, Chapter 4, Regulation of Relations with Affiliated Interests; and Title 56, Chapter 5, Utility Transfers Act), <http://www.scc.virginia.gov/uaf/ch4ch5.aspx>

Revised Guidelines for Filing Chapter 4 Applications, 6 pages, §§ 56-76 through 56-87, <http://www.scc.virginia.gov/uaf/ch4ch5.aspx>

Revised Guidelines for Filing Chapter 5 Applications, 3 pages, §§ 56-88 through 56-92, <http://www.scc.virginia.gov/uaf/ch4ch5.aspx>

Supplemental Guidelines for Filing Chapter 5 Applications under Streamlined Review, 1 page, §§ 56-88 through 56-92, <http://www.scc.virginia.gov/uaf/ch4ch5.aspx>

Chapter 4 - Transaction Summary - Affiliate Transactions, 7 pages, §§ 56-76 through 56-87, <http://www.scc.virginia.gov/uaf/ch4ch5.aspx>

Chapter 5 - Transaction Summary - Utilities Transfers Act, 11 pages, §§ 56-88 through 56-92, <http://www.scc.virginia.gov/uaf/ch4ch5.aspx>

Interest Rate to be Paid on Customer Deposits, updated December 8, 2017, 20VAC5-10-20, updated annually, <http://www.scc.virginia.gov/uaf/fileguide.aspx>

Instructions for Filing Securities Applications by Investor-Owned Utilities, revised June 20, 2000, § 56-60, <http://www.scc.virginia.gov/uaf/fileguide.aspx>

Instructions for Filing Securities Applications by Electric Cooperative Utilities, revised June 20, 2000, § 56-60, <http://www.scc.virginia.gov/uaf/fileguide.aspx>

Instructions for Submitting Annual Financing Plans by Investor-Owned Utilities, revised June 20, 2000, § 56-56, <http://www.scc.virginia.gov/uaf/fileguide.aspx>

Instructions for Submitting Annual Financing Plans by Electric Cooperative Utilities, June 20, 2000, § 56-56, <http://www.scc.virginia.gov/uaf/fileguide.aspx>

### **Division of Public Service Taxation**

Copies of the following documents may be viewed during regular work days from 8 a.m. until 5 p.m. in the State Corporation Commission, Office of the Public Service Taxation Division, Tyler Building, 9th Floor, 1300 East Main Street, Richmond, VA 23219. The mailing address is P.O. Box 1197, Richmond, VA 23218-1197. Copies may be obtained free of charge by contacting Dee Deskins at the same address, telephone (804) 371-9855, FAX (804) 371-9797, or email [dee.deskins@scc.virginia.gov](mailto:dee.deskins@scc.virginia.gov). Many of these forms are available on the website at <http://www.scc.virginia.gov/pst>.

Questions regarding interpretation or implementation of these documents may be directed to Dee Deskins, Manager, Public Service Taxation Division, State Corporation Commission, Tyler Building, 9th Floor, 1300 East Main Street, Richmond, VA 23219, telephone (804) 371-9855, (FAX) 804 371-9797, or email [dee.deskins@scc.virginia.gov](mailto:dee.deskins@scc.virginia.gov). The mailing address is P.O. Box 1197, Richmond, VA 23218-1197.

### **Guidance Documents:**

CCTD-1, State Tax Bills, all updated annually, Chapter 26 of Title 58.1 (Contact the Division of Public Service Taxation at (804) 371-9855.)

CCTD-3, Tax Report, Electric Companies, revised December 2016, § 58.1-2628,  
<http://www.scc.virginia.gov/pst/forms.aspx/etax.pdf>

CCTD-6, Tax Report, Telecommunications Companies, revised December 2016, § 58.1-2628,  
<http://www.scc.virginia.gov/pst/forms.aspx/teltax.pdf>

CCTD-7, Tax Report, Gas Companies, revised December 2016, § 58.1-2628,  
<http://www.scc.virginia.gov/pst/forms.aspx/gtax.pdf>

CCTD-8, Tax Report, Water Companies, revised December 2016, § 58.1-2628,  
<http://www.scc.virginia.gov/pst/forms.aspx/wtax.pdf>

CCTD-9, Report of Certificated Motor Vehicle Carriers for the Assessment of Rolling Stock, revised December 2016, § 58.1-2654, <http://www.scc.virginia.gov/pst/forms.aspx/rolstock.pdf>

CCTD-10, Report for Special Tax on Common Carriers by Motor Vehicle, revised December 2016, § 58.1-2663, <http://www.scc.virginia.gov/pst/forms.aspx/mctax.pdf>

CCTD-11, Report for Special Tax on Virginia Pilots' Association, revised December 2016, § 58.1-2663, <http://www.scc.virginia.gov/pst/forms.aspx/patax.pdf>

CCTD-12, Report of Railroad Companies - Statement of Gross Transportation Receipts, revised December 2016, § 58.1-2663, <http://www.scc.virginia.gov/pst/forms.aspx/rrtax.pdf>

CCTD-ET-1, Declaration of Estimated Gross Receipts Tax, December 2016, §§ 58.1-2640 and 58.1-2647, (Contact the Division of Public Service Taxation at (804) 371-9855)

CCTD-EUCT, Electric Utility Consumption Tax Monthly Report, revised January 2010, §§ 58.1-2901 and 58.1-2902, <http://www.scc.virginia.gov/pst/forms.aspx/emon.pdf>

CCTD-NGCT, Natural Gas Consumption Tax Monthly Report, revised January 2010, §§ 58.1-2905 and 58.1-2906, <http://www.scc.virginia.gov/pst/forms.aspx/gmon.pdf>



Real Estate Transaction Form Purchase/Conveyance, 2013, § 58.1-2628,  
<http://www.scc.virginia.gov/pst/forms.aspx/restran.pdf>

Motor Vehicle Carriers, Urban-Suburban Statement for Special Tax Exemption, 1963, § 58.1-2660, (Contact the Division of Public Service Taxation at (804) 371-9855)

Application for Registration as a Payphone Service Provider, revised December 2013,  
<http://www.scc.virginia.gov/pst/forms.aspx/psp.pdf>

Application for Registration as an Operator Service Provider, revised December 2013,  
<http://www.scc.virginia.gov/pst/forms.aspx/osp.pdf>

### **State Corporation Commission Annual Reports:**

The State Corporation Commission issues an annual report each year that contains the leading matters disposed of by formal orders that year. The annual reports of the commission may be viewed during regular work days from 8:15 a.m. until 5 p.m. in the State Corporation Commission, Clerk's Office, 1st Floor, Tyler Building, 1300 East Main Street, Richmond, VA 23219. Annual Reports for the years 2002 through 2016 are available on the commission website at [http://scc.virginia.gov/comm/an\\_rept.aspx](http://scc.virginia.gov/comm/an_rept.aspx).

Questions regarding interpretation of the annual reports may be directed to Joel H. Peck, Clerk of the Commission, State Corporation Commission, 1st Floor, Tyler Building, 1300 East Main Street, Richmond, VA 23219, telephone (804) 371-9834, toll-free in Virginia (866) 722-2551, or FAX (804) 371-9912. The mailing address is P.O. Box 1197, Richmond, VA 23218-1197.