

STATE CORPORATION COMMISSION

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 can 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/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, July 2014, § 12.1-21.2

SCC 21.2, Expedited Service Request Form - Business Entity Filing Instructions, July 1, 2015, § 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 July 2005, §§ 13.1-632 and 13.1-831

SCC 635/834, Statement of Change of Registered Office and/or Registered Agent of a Corporation, revised July 2010, §§ 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 2008, § 13.1-711

SCC 720, Guide for Articles of Merger of a Virginia Stock Corporation, revised September 2015, § 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 September 2015, § 13.1-722.5

SCC 722.12, CORP, Guide for Articles of Entity Conversion (Virginia limited liability company converting to a Virginia stock corporation), revised April 2008, § 13.1-722.12

SCC 722.12, LLC, Guide for Articles of Entity Conversion (Virginia stock corporation converting to a Virginia limited liability company), revised September 2015, § 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 July 2015, §§ 13.1-759 and 13.1-921

SCC 760/922, Application for an Amended Certificate of Authority to Transact Business in Virginia, revised July 2015, §§ 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 July 2015, §§ 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/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 July 2010, § 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-1010.1, Articles of Organization for Conversion of a Domestic or Foreign Partnership or Limited Partnership to a Limited Liability Company, revised July 2013, § 13.1-1010.1

LLC-1011, Articles of Organization of a Virginia Limited Liability Company, revised October 2011, § 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, 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 July 2010, § 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, April 2010, § 13.1-1018.1

LLC-1050, Articles of Cancellation of a Virginia Limited Liability Company, revised July 2015, § 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 2015, § 13.1-1052

LLC-1055, Amended Application for Registration as a Foreign Limited Liability Company, revised July 2013, § 13.1-1055

LLC-1056, Application for a Certificate of Cancellation of a Foreign Limited Liability Company Registered to Transact Business in Virginia, revised July 2015, § 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 April 2008, § 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 April 2008, § 13.1-1078

LLC-1103, Articles of Organization for a Domestic Professional Limited Liability Company, revised July 2006, § 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 July 2010, § 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 July 2010, § 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 October 2014, § 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 3, 2014, § 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, National 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

Annual Reports, 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/scefile.aspx>

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

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

Division of Communications

Copies of the following documents may be viewed during regular work days from 8 a.m. until 4:30 p.m. in the office of the State Corporation Commission, Division of Communications, 9th 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 by contacting Sheryl Ward at the same address, telephone (804) 371-9536, FAX (804) 371-9069, or email sheryl.ward@scc.virginia.gov. Questions regarding interpretation or implementation of these documents may also be directed to Sheryl Ward. There is no charge for copies of documents. Additional information regarding the Division of Communications may be obtained at <http://www.scc.virginia.gov/puc>.

Guidance Documents:

Virginia Local Telephone Companies Telecommunications "Bill of Rights" adopted by Final Order in Case No. PUC-2003-00110 dated September 30, 2005. <http://www.scc.virginia.gov/puc/bor.aspx>

Letter, Director of Communications, dated November 1, 2006, Concerning and Clarifying the State Corporation Commission's new rules, effective December 1, 2006, on Disconnection of Local Exchange Telephone Service in Virginia for Nonpayment, 20VAC5-413. Contact the Division of

Communications at (804) 371-9420. Note: Pursuant to legislation passed in 2011, these rules no longer apply for services found to be competitive (see § 56-247.1.B. of the Code of Virginia).

Letter, Director of Communications, dated April 19, 2001, Concerning Interconnection Agreements Filed with the SCC. Gives direction on (i) names on agreements, (ii) timely filing of agreements, (iii) notice requirements, and (iv) replacing existing agreements. Contact the Division of Communications at (804) 371-9420.

Letter, Director of Communications, dated December 16, 2015, Concerning Annual Payphone Service Provider Registration for 2016 including the letter and the forms for the payphone service provider annual registration, 20VAC5-407. Contact the Division of Communications at (804) 371-9420.

Letter, Director of Communications, dated December 16, 2015, Concerning Annual Operator Service Provider Registration for 2016 including the letter and the forms for the operator service provider annual registration, 20VAC5-407. Contact the Division of Communications at (804) 371-9420.

Application for Registration as an Operator Service Provider, December 2013, 20VAC5-407.

<http://scc.virginia.gov/publicforms/149/osp.pdf>

Application for Registration as a Payphone Service Provider, December 2013, 20VAC5-407.

<http://scc.virginia.gov/publicforms/147/psp.pdf>

Letter, Director of Communications, dated March 29, 2006, Concerning Telephone Company Sales and Use Tax Review and Verification. Contact the Division of Communications at (804) 371-9420.

Instructions and Form for Competitive Local Exchange Carrier Performance/Surety Bond.

http://scc.virginia.gov/publicforms/510/bond_blank.doc

Instructions and Forms for June 30th Reporting Requirements for New Entrants and Certain ILECs, 20VAC5-417-60. http://scc.virginia.gov/publicforms/511/630_rep.pdf

Instructions and Forms for December 31st Reporting Requirements for New Entrants and Certain ILECs, 20VAC5-417-60. http://scc.virginia.gov/publicforms/512/1231_rep.pdf

Division of Energy 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 Energy 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.

Questions regarding interpretation or implementation of these documents may be directed to David Roberts, Manager, Consumer Services, at the above address and telephone number.

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/pue/docs/und_dist.pdf

Tree Trimming Guidelines, September 1, 1996, House Joint Resolution No. 155 - 1989 Acts of Assembly, <http://www.scc.virginia.gov/pue/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/pue/docs/ws.pdf>

Guidelines of Minimum Requirements for Transmission Line Applications, May 10, 1991, §§ 56-46.1 and 56-265.1 et seq. <http://www.scc.virginia.gov/pue/docs/trans.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/pue/docs/cold.pdf>

Form NMIN, Agricultural Net Metering or Net Metering Interconnection Notification, 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/pue/docs/irp.pdf>

Gas Utility Five-Year Forecast Information Requirements, revised August 2014, § 56-248.1,
<http://www.scc.virginia.gov/pue/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

<http://www.scc.virginia.gov/pue/pilot.aspx>

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 bfiquestions@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 bfiquestions@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/files/admin_lets.pdf:

Banking Act

- 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, revised and reissued August 19, 2015, § 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 Act

- 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 Union Act

- 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 Act

- 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 and Instructions:

Banks

Bank Directors Responsibilities, revised October 2010

<http://www.scc.virginia.gov/publicforms/47/bankresp.pdf>

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

<http://www.scc.virginia.gov/publicforms/46/ccb1117.pdf>

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

<http://www.scc.virginia.gov/publicforms/45/ccb1121.pdf>

CCB-1122, Oath of Office for Multiple Directors, revised January 2000

<http://www.scc.virginia.gov/publicforms/65/ccb1122.pdf>

CCB-1122A, Oath of Office for Single Director, revised January 2000

<http://www.scc.virginia.gov/publicforms/65/ccb1122.pdf>

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

<http://www.scc.virginia.gov/publicforms/48/ccb1123.pdf>

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

<http://www.scc.virginia.gov/publicforms/53/ccb1125.pdf>

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 <http://www.scc.virginia.gov/publicforms/54/ccb1126.pdf>

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

<http://www.scc.virginia.gov/publicforms/66/ccb1127.pdf>

CCB-1128, Application for Approval of Merger Pursuant to Title 6.2 of the Code of Virginia, revised October 2010 <http://www.scc.virginia.gov/publicforms/56/ccb1128.pdf>

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

<http://www.scc.virginia.gov/publicforms/64/ccb1129.pdf>

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

<http://www.scc.virginia.gov/publicforms/102/ccb1131.pdf>

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

<http://www.scc.virginia.gov/publicforms/55/ccb1133.pdf>

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 October 2010

<http://www.scc.virginia.gov/publicforms/57/ccb1137.pdf>

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

<http://www.scc.virginia.gov/publicforms/58/ccb1137a.pdf>

CCB-1138, Notice of Intent to Acquire a Bank Outside Virginia Pursuant to § 6.2-715 of the Code of Virginia, revised October 2010 <http://www.scc.virginia.gov/publicforms/61/ccb1138.pdf>

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

<http://www.scc.virginia.gov/publicforms/59/ccb1139.pdf>

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

<http://www.scc.virginia.gov/publicforms/49/ccb1140.pdf>

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

<http://www.scc.virginia.gov/publicforms/60/ccb1143.pdf>

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

<http://www.scc.virginia.gov/publicforms/62/ccb1144.pdf>

CCB-1146, Application to Convert Pursuant to Title 6.2 of the Code of Virginia, revised October 2010 <http://www.scc.virginia.gov/publicforms/52/ccb1146.pdf>

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

<http://www.scc.virginia.gov/publicforms/50/ccb1147.pdf>

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

<http://www.scc.virginia.gov/publicforms/51/ccb1150.pdf>

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

<http://www.scc.virginia.gov/publicforms/67/ccb9905.pdf>

Savings Institutions

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

<http://www.scc.virginia.gov/publicforms/45/ccb1121.pdf>

CCB-1122, Oath of Office for Multiple Directors, revised January 2000

<http://www.scc.virginia.gov/publicforms/65/ccb1122.pdf>

CCB-1122A, Oath of Office for Single Director, revised January 2000

<http://www.scc.virginia.gov/publicforms/65/ccb1122.pdf>

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

<http://www.scc.virginia.gov/publicforms/48/ccb1123.pdf>

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 <http://www.scc.virginia.gov/publicforms/54/ccb1126.pdf>

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

<http://www.scc.virginia.gov/publicforms/58/ccb1137a.pdf>

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

<http://www.scc.virginia.gov/publicforms/49/ccb1140.pdf>

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

<http://www.scc.virginia.gov/publicforms/60/ccb1143.pdf>

CCB-1146, Application to Convert Pursuant to Title 6.2 of the Code of Virginia, revised October 2010 <http://www.scc.virginia.gov/publicforms/52/ccb1146.pdf>

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

<http://www.scc.virginia.gov/publicforms/50/ccb1147.pdf>

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

<http://www.scc.virginia.gov/publicforms/51/ccb1150.pdf>

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

<http://www.scc.virginia.gov/publicforms/104/ccb2201.pdf>

CCB-2206, Supplemental Sheet - Application of Savings Institutions for a Certificate of Authority to Begin Business, revised March 2008 <http://www.scc.virginia.gov/publicforms/101/ccb2206.pdf>

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

<http://www.scc.virginia.gov/publicforms/107/ccb2207.pdf>

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 <http://www.scc.virginia.gov/publicforms/108/ccb2209.pdf>

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 <http://www.scc.virginia.gov/publicforms/109/ccb2210.pdf>

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
<http://www.scc.virginia.gov/publicforms/110/ccb2211.pdf>

CCB-2212, Notice of Proposed Change of Location (within one mile) of a Main Office or Branch of a Savings Institution, revised October 2010 <http://www.scc.virginia.gov/publicforms/105/ccb2212.pdf>

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
<http://www.scc.virginia.gov/publicforms/106/ccb2213.pdf>

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
<http://www.scc.virginia.gov/publicforms/103/ccb2215.pdf>

Credit Unions

CCB-1123, Personal Financial Report and Disclosure Statement, revised September 2012
<http://www.scc.virginia.gov/publicforms/48/ccb1123.pdf>

CCB-1137A, Consent to Service of Process, revised October 2010
<http://www.scc.virginia.gov/publicforms/58/ccb1137a.pdf>

CCB-1150, Employment and Business Affiliation Disclosure Form, revised October 2010
<http://www.scc.virginia.gov/publicforms/51/ccb1150.pdf>

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

<http://www.scc.virginia.gov/publicforms/80/ccb3302.pdf>

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

<http://www.scc.virginia.gov/publicforms/82/ccb3304.pdf>

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

<http://www.scc.virginia.gov/publicforms/81/ccb3305.pdf>

CCB-3306, Application for Approval of Merger of Credit Unions Pursuant to § 6.2-1344 of the Code of Virginia, revised October 2010 <http://www.scc.virginia.gov/publicforms/83/ccb3306.pdf>

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 <http://www.scc.virginia.gov/publicforms/84/ccb3307.pdf>

CCB-3308, Credit Union Request for Field of Membership Expansion, revised October 2010

<http://www.scc.virginia.gov/publicforms/79/ccb3308.pdf>

Consumer Finance Companies

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

<http://www.scc.virginia.gov/publicforms/48/ccb1123.pdf>

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

<http://www.scc.virginia.gov/publicforms/60/ccb1143.pdf>

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

<http://www.scc.virginia.gov/publicforms/69/ccb1149.pdf>

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

<http://www.scc.virginia.gov/publicforms/51/ccb1150.pdf>

CCB-4401, Annual Report of a Consumer Finance Company, revised November 2014

<http://www.scc.virginia.gov/publicforms/119/ccb4401.pdf>

CCB-4402, Application for a Consumer Finance License Pursuant to Chapter 15 of Title 6.2 of the Code of Virginia, revised May 2013 <http://www.scc.virginia.gov/publicforms/68/ccb4402.pdf>

CCB-4403, Notice to Conduct Consumer Finance Business and Other Business at Same Location, revised October 2010 <http://www.scc.virginia.gov/publicforms/70/ccb4403.pdf>

CCB-4406, Notice of Intent to Change the Location of a Consumer Finance Office, revised October 2010 <http://www.scc.virginia.gov/publicforms/71/ccb4406.pdf>

CCB-4407, Application for an Additional Consumer Finance Office Pursuant to § 6.2-1507 B of the Consumer Finance Act, revised October 2010
<http://www.scc.virginia.gov/publicforms/72/ccb4407.pdf>

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
<http://www.scc.virginia.gov/publicforms/73/ccb4408.pdf>

Money Order Sellers and Money Transmitters

CCB-1123, Personal Financial Report and Disclosure Statement, revised September 2012
<http://www.scc.virginia.gov/publicforms/48/ccb1123.pdf>

CCB-1143, Limited Personal Financial Report and Disclosure Statement, revised September 2012
<http://www.scc.virginia.gov/publicforms/60/ccb1143.pdf>

CCB-1149, Depository Institution Authorization Form, revised December 2004
<http://www.scc.virginia.gov/publicforms/69/ccb1149.pdf>

CCB-1150, Employment and Business Affiliation Disclosure Form, revised October 2010
<http://www.scc.virginia.gov/publicforms/51/ccb1150.pdf>

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 2014
<http://www.scc.virginia.gov/publicforms/85/ccb5500.pdf>

CCB-5507, Annual Report of Money Transmitters, revised November 2014

<http://www.scc.virginia.gov/publicforms/121/ccb5507.pdf>

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

<http://www.scc.virginia.gov/publicforms/86/ccb5509.pdf>

CCB-5511, Transaction Report of Money Order Sellers and Money Transmitters for the Semi-Annual Period, revised 2011 <http://www.scc.virginia.gov/publicforms/122/ccb5511.pdf>

CCB-5512, Transaction Report of Money Order Sellers and Money Transmitters for the Quarter, revised 2011 <http://www.scc.virginia.gov/publicforms/123/ccb5512.pdf>

CCB-5513, Deposit Agreement under Virginia Code Title 6.2, Chapter 19 (Money Order Sales), revised October 2010 <http://www.scc.virginia.gov/publicforms/87/ccb5513.pdf>

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

<http://www.scc.virginia.gov/publicforms/88/ccb5514.pdf>

Check Cashers

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

<http://www.scc.virginia.gov/publicforms/44/ccb5510.pdf>

Payday Lenders

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

<http://www.scc.virginia.gov/publicforms/48/ccb1123.pdf>

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

<http://www.scc.virginia.gov/publicforms/60/ccb1143.pdf>

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

<http://www.scc.virginia.gov/publicforms/69/ccb1149.pdf>

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

<http://www.scc.virginia.gov/publicforms/51/ccb1150.pdf>

CCB-5515, Application for a Payday Lender License Pursuant to Chapter 18 of Title 6.2 of the Code of Virginia, revised October 2010 <http://www.scc.virginia.gov/publicforms/95/ccb5515.pdf>

CCB-5516, Surety Bond Pursuant to § 6.2-1804 of the Code of Virginia, revised October 2010 <http://www.scc.virginia.gov/publicforms/96/ccb5516.pdf>

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 <http://www.scc.virginia.gov/publicforms/97/ccb5517.pdf>

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 <http://www.scc.virginia.gov/publicforms/98/ccb5518.pdf>

CCB-5519, Application to Conduct the Business of Making Payday Loans and Other Business at Same Location, revised October 2010 <http://www.scc.virginia.gov/publicforms/99/ccb5519.pdf>

CCB-5521, Annual Report of Payday Lenders, revised November 2014 <http://www.scc.virginia.gov/publicforms/120/ccb5521.pdf>

CCB-5529, Annual Report of Motor Vehicle Title Lenders, revised November 2014 <http://www.scc.virginia.gov/publicforms/591/ccb5529.pdf>

Industrial Loan Associations

CCB-6602, Annual Report of Industrial Loan Associations, revised November 2014 <http://www.scc.virginia.gov/publicforms/124/ccb6602.pdf>

Credit Counseling Agencies

CCB-1123, Personal Financial Report and Disclosure Statement, revised September 2012 <http://www.scc.virginia.gov/publicforms/48/ccb1123.pdf>

CCB-1148, Personal Information and Disclosure Statement for Directors of Credit Counseling Agencies, revised June 2006 <http://www.scc.virginia.gov/publicforms/75/ccb1148.pdf>

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

<http://www.scc.virginia.gov/publicforms/69/ccb1149.pdf>

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

<http://www.scc.virginia.gov/publicforms/51/ccb1150.pdf>

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

<http://www.scc.virginia.gov/publicforms/74/ccb7700.pdf>

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

<http://www.scc.virginia.gov/publicforms/77/ccb7702.pdf>

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

<http://www.scc.virginia.gov/publicforms/76/ccb7703.pdf>

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

<http://www.scc.virginia.gov/publicforms/78/ccb7704.pdf>

CCB-7705, Semi-Annual Report of Agencies Providing Debt Management Plans, revised July 2015

<http://www.scc.virginia.gov/publicforms/126/ccb7705.pdf>

CCB-7706, Annual Report of Agencies Providing Debt Management Plans, revised November 2014

<http://www.scc.virginia.gov/publicforms/125/ccb7706.pdf>

Mortgage Lenders and Mortgage Brokers

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 National 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-8805, Annual Report of Mortgage Lenders and Brokers, revised November 2014

<http://www.scc.virginia.gov/publicforms/118/ccb8805.pdf>

CCB-8820, Annual Report of Exempt Mortgage Lenders and Brokers, revised November 2014
<http://www.scc.virginia.gov/publicforms/590/ccb8820.pdf>

CCB-8821, Application for Determination of a Bona Fide Non-profit Status Pursuant to §6.2-1701 of the Code of Virginia. Revised November 2014
<http://www.scc.virginia.gov/publicforms/602/ccb8821.pdf>

CCB-8823, Exclusive Agent Conditions of Licensure, July 2014.
<http://www.scc.virginia.gov/publicforms/619/ccb8823.pdf>

Mortgage Loan Originators

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 November 2012

CCB-8812, Criminal History Records Consent and Fingerprinting, revised October 2011

CCB-8813, Surety Bond Pursuant to §§ 6.1-413 and 6.1-431.4 of the Code of Virginia, revised October 2010

CCB-8814, Surety Bond Pursuant to § 6.1-431.4 of the Code of Virginia, revised October 2010

CCB-8815, Employment Verification Form, revised October 2010

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

CCB-8817, MLO Personal Financial Report, revised November 2009

CCB-8820, Annual Report of Exempt Mortgage Lenders and Brokers for the Year Ending December 31, 2014, revised November 2014

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

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

MUA, Uniform Individual Mortgage License/Registration and Consent Form, revised April 2012

Trust Companies

CCB-1122, Oath of Office for Multiple Directors, revised January 2000

<http://www.scc.virginia.gov/publicforms/65/ccb1122.pdf>

CCB-1122A, Oath of Office for Single Director, revised January 2000

<http://www.scc.virginia.gov/publicforms/65/ccb1122.pdf>

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

<http://www.scc.virginia.gov/publicforms/48/ccb1123.pdf>

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

<http://www.scc.virginia.gov/publicforms/49/ccb1140.pdf>

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

<http://www.scc.virginia.gov/publicforms/51/ccb1150.pdf>

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

<http://www.scc.virginia.gov/publicforms/111/ccb9900.pdf>

CCB-9901, Certificate of a Control Person of a Trust Company Pursuant to § 6.2-1024 of the Code of Virginia, revised October 2010 <http://www.scc.virginia.gov/publicforms/112/ccb9901.pdf>

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

<http://www.scc.virginia.gov/publicforms/113/ccb9902.pdf>

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

<http://www.scc.virginia.gov/publicforms/114/ccb9904.pdf>

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

<http://www.scc.virginia.gov/publicforms/67/ccb9905.pdf>

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

<http://www.scc.virginia.gov/publicforms/116/ccb9906.pdf>

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
<http://www.scc.virginia.gov/publicforms/115/ccb9907.pdf>

CCB-9908, Notice of Intent to Engage in Business as a Private Trust Company, revised October 2010
<http://www.scc.virginia.gov/publicforms/117/ccb9908.pdf>

Settlement Agents

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
<http://www.scc.virginia.gov/publicforms/520/ccb10001.pdf>

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

"The Virginia State Banker," a newsletter for state-chartered banks, published quarterly
http://www.scc.virginia.gov/bfi/sb_news.aspx

"Regulatory Report" (formerly "Payday Pre\$\$"), 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

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, Special Assistant to the Commissioner of Insurance. 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 Section 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 Sections 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 Section 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 Section 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>

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Administrative Letter 1979-17, Single Interest Coverage, issued June 4, 1979
<http://www.scc.virginia.gov/boi/adminlets/79-17.pdf> (also see [Administrative Order 7245](#))

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>

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Administrative Letter 1979-22, The Arson Reporting-Immunity Act, issued August 30, 1979
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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
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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>

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<http://www.scc.virginia.gov/boi/adminlets/80-12.pdf>

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<http://www.scc.virginia.gov/boi/adminlets/80-13.pdf>

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<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>

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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>

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Administrative Letter 1983-2, Bracketed by Duration Credit Accident and Sickness Rates, issued March 31, 1983, § 38.2-3725 (formerly § 38.1-482.7:1 D) <http://www.scc.virginia.gov/boi/adminlets/83-2.pdf>

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the Code of Virginia, as amended, issued July 28, 1983, §§ 38.2-3130 through 38.2-3142 (formerly § 38.1-456), 38.2-3200 et seq. (formerly §§ 38.1-461, 38.1-462, and 38.1-464 through 38.1-467) <http://www.scc.virginia.gov/boi/adminlets/83-6.pdf>

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Administrative Letter 1983-12, Manual Rules Which Waive Premium Refunds or Charges, issued December 7, 1983 <http://www.scc.virginia.gov/boi/adminlets/83-12.pdf>

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Administrative Letter 1984-4, Insurance in Connection with Variable Rate Loans, issued June 20, 1984 (replaced Administrative Letter 1983-11) <http://www.scc.virginia.gov/boi/adminlets/84-4.pdf>

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Administrative Letter 1985-15, New Regulatory Requirements, issued July 22, 1985, §§ 38.2-4902 (formerly § 38.1-957) and 38.2-4905 (formerly § 38.1-960) <http://www.scc.virginia.gov/boi/adminlets/85-15.pdf>

Administrative Letter 1986-5, Prohibition Against Insuring Lives or Persons of Residents of States in Which Insurer Is Not Licensed, issued April 30, 1986, § 38.2-3102 (formerly § 38.1-433) <http://www.scc.virginia.gov/boi/adminlets/86-5.pdf>

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Administrative Letter 1986-16, Administrative Order No. 9177 - Mobile Home Owners Policy - MH(C), Virginia Amendatory Endorsement - MH(C)-1, issued July 1, 1986, <http://www.scc.virginia.gov/boi/adminlets/86-16.pdf>

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Administrative Letter 1987-15, 14VAC5-210 (formerly Insurance Regulation No. 28), issued October 7, 1987, § 38.2-4311 and 14VAC5-210 (formerly Insurance Regulation No. 28) <http://www.scc.virginia.gov/boi/adminlets/87-15.pdf>

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Administrative Letter 1988-9, Implementation of 14VAC5-210 (formerly Insurance Regulation No. 28) - Reporting Dates, issued June 1, 1988, 14VAC5-210 (formerly Insurance Regulation No. 28) <http://www.scc.virginia.gov/boi/adminlets/88-9.pdf>

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<http://www.scc.virginia.gov/boi/adminlets/89-9.pdf>

Administrative Letter 1989-12, Long-Term Care Insurance Consumer's Guide, issued October 27, 1989, § 38.2-5207 <http://www.scc.virginia.gov/boi/adminlets/89-12.pdf>

Administrative Letter 1989-14, Accelerated Approval Procedure for Medicare Supplement Forms and Rates Filings, issued December 21, 1989 <http://www.scc.virginia.gov/boi/adminlets/89-14.pdf>

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Administrative Letter 1990-12, Senate Bill 131 - Coverage for Child Health Supervision Services, issued September 11, 1990, § 38.2-3411.1 <http://www.scc.virginia.gov/boi/adminlets/90-12.pdf>

Administrative Letter 1990-13, Annual Statement Filing by Certain Insurers in Machine-Readable Format: Diskettes Required, issued October 12, 1990, § 38.2-1300
<http://www.scc.virginia.gov/boi/adminlets/90-13.pdf>

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<http://www.scc.virginia.gov/boi/adminlets/90-14.pdf>

Administrative Letter 1990-15, Allocation of Group Premiums for Multijurisdictional Health Maintenance Organizations, issued October 1, 1990, § 38.2-400
<http://www.scc.virginia.gov/boi/adminlets/90-15.pdf>

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Administrative Letter 1991-8, "Rules Governing Minimum Standards for Medicare Supplement Policies" - 14VAC5-170 (formerly Insurance Regulation No. 35), Effective December 1, 1990, issued June 10, 1991, 14VAC5-170 (formerly Insurance Regulation No. 35)

<http://www.scc.virginia.gov/boi/adminlets/91-8.pdf>

Administrative Letter 1991-9, Private Passenger Automobile Medical Expense Coverage Effective July 1, 1991, issued May 29, 1991, §§ 38.2-124 and 38.2-2201

<http://www.scc.virginia.gov/boi/adminlets/91-9.pdf>

Administrative Letter 1991-11, Legislation Enacted by the 1991 Session of the General Assembly of Virginia, issued June 17, 1991 <http://www.scc.virginia.gov/boi/adminlets/91-11.pdf>

Administrative Letter 1991-12, Unfair Trade Practices Concerning Automobile Glass Claims, issued October 31, 1991, § 38.2-510 <http://www.scc.virginia.gov/boi/adminlets/91-12.pdf>

Administrative Letter 1991-13, Preneed Funeral Contracts Funded by Life Insurance or Annuities, issued November 21, 1991, § 54.1-2820 <http://www.scc.virginia.gov/boi/adminlets/91-13.pdf>

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Administrative Letter 1992-10, Transactions within a Holding Company System Involving any Person Who is Not an Affiliate, issued April 16, 1992, §§ 38.2-1331 and 38.2-4233
<http://www.scc.virginia.gov/boi/adminlets/92-10.pdf>

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Administrative Letter 1992-12, Legislation Enacted by the 1992 Session of the General Assembly of Virginia, issued July 16, 1992 <http://www.scc.virginia.gov/boi/adminlets/92-12.pdf>

Administrative Letter 1992-13, Mammogram Benefits in Medicare Supplement Policies, issued August 5, 1992, § 38.2-3418.1 <http://www.scc.virginia.gov/boi/adminlets/92-13.pdf>

Administrative Letter 1992-16, Analysis of Excess Capital and Surplus Investments, issued August 14, 1992 <http://www.scc.virginia.gov/boi/adminlets/92-16.pdf>

Administrative Letter 1992-17, Asset Protection Act, Virginia Code §§ 38.2-1446 and 38.2-1447, issued August 14, 1992, §§ 38.2-1446 and 38.2-1447 <http://www.scc.virginia.gov/boi/adminlets/92-17.pdf>

Administrative Letter 1992-18, New Chapter 37.1 of Title 38.2, Code of Virginia, issued August 31, 1992, §§ 38.2-3725, 38.2-3726, 38.2-3727 and 38.2-3730
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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>

Administrative Letter 2015-05, Mandatory Notices for Fire, Dwelling Fire, Homeowners, and Tenant Policies; Withdraws Administrative Letters 1980-2, 1993-09, and 1999-04, issued March 17, 2015, <https://www.scc.virginia.gov/boi/adminlets/15-05.pdf>

Administrative Letter 2015-06, Mandatory Notices for Motor Vehicle Policies; Withdraws Administrative Letters 1977-13, 1991-09, and 1994-07, issued March 17, 2015, <https://www.scc.virginia.gov/boi/adminlets/15-06.pdf>

Administrative Letter 2015-07, Requirements for Adverse Underwriting Decisions and Notices; Withdrawal of Administrative Letters 1978-4; 1978-9; 1978-11; 1981-4; 1981-15, 1981-16, and 2003-06, issued March 30, 2015, <https://www.scc.virginia.gov/boi/adminlets/15-07.pdf>

Administrative Letter 2015-08, Withdrawal of Administrative Letter 2015-01; Code of Virginia § 38.2-3418.17 – Coverage for Autism Spectrum Disorder, issued April 3, 2015, <https://www.scc.virginia.gov/boi/adminlets/15-08.pdf>

Administrative Letter 2015-09, Withdrawal of Administrative Letters 1981-11, 1983-6, 1985-13, 1985-15, 1986-20, 1987-15, 1988-9, 1988-14, 1990-13, 1992-8, 1992-14, 1992-15, 1992-16, 1992-17, 1992-24, 1993-16, 1997-1, 1997-13, 1998-4, 1998-6, 1998-7 and 1999-9, issued May 1, 2015, <https://www.scc.virginia.gov/boi/adminlets/15-09.pdf>

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>

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 2015

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

- Certified Reinsurers, Form CR-E and Instructions for Form CR-E
- 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:

- 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 July 2011, § 38.2-4805.1
- Requirements for Surplus Lines Approval in Virginia for a Foreign Carrier, revised July 2011, § 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 August 2012, 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
- Automobile Club Requirements for Organizing and Licensing in Virginia, revised August 2015, § 13.1-400.2
- 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, September 2014, § 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:

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 Non-Domiciliary 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, January 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

- NAIC Financial Standard State Filing Checklists for filings due in 2016 for Fraternal Societies, Health Organizations, Life, Accident and Health companies, Property and Casualty companies and Title companies
- Virginia Specific Financial and License Renewal Forms:
 - Analysis of Excess Capital and Surplus Investments Report [Form R01]
 - Application for Renewal of License [Form R2A]
 - Application for Renewal of License - Fraternal Benefit Society [Form R2B]
 - Application for Renewal of License - Home Service Contract Provider [Form R17]
 - Audited Financial Statements Exemption Affidavit [Form R03]
 - Certificate of Assuming Insurer [Form R05]
 - Certificate of Assuming Insurer Quarterly Update [Form R05Q]
 - Certificate of Certified Reinsurer [Form R15]
 - Costs of HMO's Indemnification and Nonparticipating Referral Provider Arrangements [Form R06]
 - Home Service Contract Provider Demographic Information and Requirements for Doing Business in Virginia [Form R18]
 - MEWA Policy Verification [Form R19]
 - MEWA Renewal

- PG Annual Renewal
- Premium Finance Annual Statement Form
- Producer-Controlled Insurer Report [Form R08]
- Reinsurance Intermediary License Renewal Application
- Report of Assessable Ocean & Inland Marine Premium [Form R09]
- Report of Assets Pledged, Hypothecated or Encumbered [Form R10]
- Request for Information Regarding Reinsurance Intermediaries (RIs) [Form R12]
- Statement of Material Changes [Form R13]
- Supplementary Statement of Covered and Uncovered Expenses [Form R14]
- Surplus Lines Annual Filing Information [Form R16]

Market Regulation Unit Guidance Documents:

Assigned Risk Workers' Compensation Rates, revised April 2016,

http://scc.virginia.gov/boi/co/pc/ar_wcomp.aspx

Common Problems Found During Agent Investigations, revised August 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

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 January 2009

<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>

<http://www.scc.virginia.gov/boi/co/health/mandben.aspx>

Virginia Small Employer Group Health Insurance Medical History Form, September 2010

<http://www.scc.virginia.gov/boi/co/health/index.aspx>(currently unavailable)

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 April 2015,

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

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

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 2014,

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

Workers' Compensation Voluntary Market Loss Costs Multipliers, revised September 2015,

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, 2015, revised December 2015

<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 2010-10, Premium tax and Assessment Practices and Procedures, Replacement of Administrative Letter 2009-10, issued October 4, 2010, <http://www.scc.virginia.gov/boi/adminlets/10-10.pdf>

Life and Health Consumer Guides:

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

2015 Choosing a Medigap Policy: A Guide to Health Insurance for People with Medicare, published December 2013, <http://www.medicare.gov/Publications/Pubs/pdf/02110.pdf>

2016 Medicare Premiums/Deductibles/Co-insurance, revised November 2015, <http://www.scc.virginia.gov/boi/pubs/medchange.pdf>

2016 Part D Medicare Prescription Drug Plans in Virginia, revised October 2016, <http://www.scc.virginia.gov/boi/pubs/medcaredrug.pdf>

2016 Part C Medicare Health Plans in Virginia, revised October 2016, <http://www.scc.virginia.gov/boi/pubs/medcarehlth.pdf>

2016 Tax Qualified Long-Term Figures, published November 2015, http://www.scc.virginia.gov/boi/pubs/ltc_taxqual.pdf

A Shopper's Guide to Cancer Insurance, revised July 2013, (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

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

Consumer Alert - Seniors Beware, Question Credentials of "Senior Specialists," published August 2008, http://www.scc.virginia.gov/boi/pubs/srs_beware.pdf

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

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

Do You Need Long-Term Care Insurance? published July 2007,
http://www.scc.virginia.gov/boi/pubs/naic_needltc.pdf

Facts about Long-Term Care Insurance in Virginia, revised August 2007,
<http://www.scc.virginia.gov/boi/pubs/lcfacts.pdf>

Federal Health Care Reform Patient Protection and Affordable Care Act (PPACA; Public Law 111-148), revised October 2011, (Available upon request from the Life and Health Consumer Services Section by calling 804-371-9691.)

Forms to Request an Independent External Review of an Adverse Determination,
http://www.scc.virginia.gov/boi/omb/ext_review.aspx

Helpful Coverage Tips for Parents of Special Needs Children, revised July 2009,
<http://www.scc.virginia.gov/boi/omb/files/specneeds.pdf>

Health Insurance: Stay Protected Amid Layoffs, Budget Cuts, revised February 2011,
http://www.scc.virginia.gov/boi/pubs/hlth_5-9.pdf

Important Information Regarding Medicare Advantage Plan Marketing, revised May 2009,
http://www.scc.virginia.gov/boi/pubs/adv_mktng.pdf

Know Your Rights Regarding Life and Health Insurance,
http://www.scc.virginia.gov/boi/cons/lh_rts.aspx

Life and Health Complaint Form, revised June 2015,
<http://www.scc.virginia.gov/publicforms/262/lhinquiry.pdf>

Life and Health Options if You Leave or Lose Your Job,

http://www.scc.virginia.gov/boi/pubs/keep_ins.pdf

Life Insurance: Reviewing Your Policy Important to Securing Your Family's Future, published

September 2008, http://www.scc.virginia.gov/boi/pubs/naic_lifereview.pdf

Life Insurance: Securing Your Family's Financial Future in Case of Unexpected Death

http://www.scc.virginia.gov/boi/pubs/naic_lifealert.pdf

List of Carriers with Recently Approved Individual Stand-Alone Dental Plans, revised October 2015,

<http://www.scc.virginia.gov/boi/pubs.aspx> (select Health Insurance)

List of Carriers with Recently Approved Small Employer Stand-Alone Dental Plans, revised October

2015, <http://www.scc.virginia.gov/boi/pubs.aspx> (select Health Insurance)

List of Long-Term Care Policies, and Companies with Approved Individual Long-Term Care

Partnership Policies, revised April 2013, <http://www.scc.virginia.gov/boi/pubs/ltclist.pdf>

List of Carriers with Approved Individual Health Benefit Plans, revised October 2015,

<http://www.scc.virginia.gov/boi/pubs.aspx> (select Health Insurance)

List of Carriers with Approved Small Employer Health Benefit Plans, revised October 2015,

<http://www.scc.virginia.gov/boi/pubs.aspx> (select Health Insurance)

List of Carriers with Recently Approved Stand-Alone Vision Plans – Individual and Group Markets,

October 2015, <http://www.scc.virginia.gov/boi/pubs.aspx> (select Health Insurance)

List of Medicare Supplement and Medicare Select Insurance Companies for Individuals Age 65 or

Older, revised Quarterly, <http://www.scc.virginia.gov/boi/pubs/medsupcos.pdf>

List of Medicare Supplement and Medicare Select Insurance Companies for Individuals under 65 and

Eligible for Medicare due to Disability, revised Quarterly,

<http://www.scc.virginia.gov/boi/pubs/medsupcos.pdf>

Life Insurance Information for Military Personnel, revised 2008, (Available upon request from the

Life and Health Consumer Services Section by calling 804-371-9691.)

Long-Term Care Insurance: The Choice is Yours. Virginia's Long-Term Care Partnership, revised October 2010, http://www.scc.virginia.gov/boi/pubs/ltpart_broch.pdf

Long-Term Care Insurance - What You Should Know
http://www.scc.virginia.gov/boi/pubs/naic_knowltc.pdf

MCHIP Appeal Process, published July 2003, <http://www.scc.virginia.gov/boi/omb/files/appeal.pdf>

NAIC Public Service Announcement for Long-Term Care Insurance,
http://www.naic.org/index_ltc_section.htm

Prescription Drug Assistance Program in Virginia,
<http://www.scc.virginia.gov/boi/cons/sr/index.aspx>

Protect Yourself - Purchasing Health Insurance after College Graduation,
http://www.scc.virginia.gov/boi/pubs/naic_protect.pdf

Special Advisory Commission on Mandated Health Insurance Benefits: Guidelines for the Review of Legislation Mandating Health Insurance Coverage,
http://www.scc.virginia.gov/boi/pubs/mandated_guidelines.pdf

State Health Exchanges: What You Need to Know to (Re) Enroll,
<http://www.scc.virginia.gov/boi/pubs.aspx> (select Health Insurance)

Tips on Buying Life Insurance, http://www.scc.virginia.gov/boi/pubs/naic_lifebuytips.pdf

Tips on Obtaining Out-of-Network Services through Your Managed Care Health Insurance Plan, revised October 2005, <http://www.scc.virginia.gov/boi/omb/files/oontips.pdf>

Tips to Help You Appeal a Denial from Your Managed Care Health Insurance Plan (MCHIP), revised October 2005, <http://www.scc.virginia.gov/boi/omb/files/appealtips.pdf>

Tips to Help You Appeal an Experimental Investigational Services Denial by Your MCHIP, revised January 2012, <http://www.scc.virginia.gov/boi/omb/files/exptips.pdf>

Tips to Help You Appeal a Prescription Medication Denial with Your Managed Care Health Insurance Plan, revised March 2009, <http://www.scc.virginia.gov/boi/omb/files/scriptips.pdf>

Tips to Help You Understand and Appeal Health Plan Decisions When the Coverage is Self-Insured, revised February 2011, http://www.scc.virginia.gov/boi/omb/selfins_tips.aspx

The Medicine Program - Patient Assistance Programs to Help Those Who Qualify to Receive Free Prescription Medications, <http://www.themedicineprogram.com/>

Understanding Your Insurance Policy, http://www.scc.virginia.gov/boi/pubs/naic_und_plcy.pdf

Virginia Health Insurance Guide for Consumers, revised June 2015, http://www.scc.virginia.gov/boi/pubs/conshealth_14.pdf

Virginia Medigap Policies Premium Guide, revised August 2013, http://www.scc.virginia.gov/boi/pubs/medsup_txt.pdf

Virginia Medigap Premium Charts, updated quarterly, http://www.scc.virginia.gov/boi/pubs/medsup_cht.pdf

Virginia Life Insurance Consumer's Guide, revised 2013, <http://www.scc.virginia.gov/boi/pubs/lifeguide.pdf>

Virginia Insurance Counseling and Assistance Program, <http://www.scc.virginia.gov/boi/cons/sr/vicap.aspx>

What to Do if a Health Insurance Company Denies Your Claim, published August 2008, http://www.scc.virginia.gov/boi/pubs/naic_deny.pdf

Property and Casualty Consumer Guides:

Auto Insurance Consumer's Guide, revised 2011, <http://www.scc.virginia.gov/boi/pubs/autoguide.pdf>

Seguro de Automoviles, Guia para el Consumidor, revised 2006, http://www.scc.virginia.gov/boi/pubs/auto_espanol.pdf

Auto Insurance Sample Premium Tables, revised 2015/2016 http://www.scc.virginia.gov/boi/pubs/auto_sampprem.pdf

Consumer Assistance and Outreach Services, revised 2013,

<http://www.scc.virginia.gov/boi/pubs/outreach.pdf>

Credit Scoring - How It Affects Your Automobile and Homeowners Insurance, revised 2006,

<http://www.scc.virginia.gov/boi/pubs/creditscor.pdf>

Homeowners Insurance Consumer's Guide, revised 2011,

<http://www.scc.virginia.gov/boi/pubs/hoguide.pdf>

Seguro para Propietarios de Viviendas - Guia para el Consumidor, revised 2006

http://www.scc.virginia.gov/boi/pubs/home_espanol.pdf

Homeowners Insurance Sample Premium Tables, revised 2015/2016

http://www.scc.virginia.gov/boi/pubs/ho_sampprem.pdf

Renters Insurance Consumer's Guide, revised 2005 http://www.scc.virginia.gov/boi/pubs/va_rent.pdf

Seguro para Inquilinos, Guia del Cosumidor, 2006,

http://www.scc.virginia.gov/boi/pubs/va_inquilar.pdf

State Corporation Commission Bureau of Insurance Consumer Complaint Form,

http://www.scc.virginia.gov/publicforms/263/pc_fill.pdf

Teenager's Guide to Auto Insurance, revised 2006,

http://www.scc.virginia.gov/boi/pubs/auto_teen.pdf

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

Virginia Commercial Insurance Consumer's Guide, revised 2012,

<http://www.scc.virginia.gov/boi/pubs/commguide.pdf>

When a Disaster Strikes: What to do after an Insured Commercial Property Loss, revised 2012,

http://www.scc.virginia.gov/boi/pubs/comm_dis.pdf

When a Disaster Strikes: What to do after an Insured Homeowners Loss, revised 2012,

http://www.scc.virginia.gov/boi/pubs/ho_dis.pdf

Forms and Guides Respecting Licensing of Individuals and Agencies:

Form 3001, Application for Individual Insurance License, March 2014,
<http://scc.virginia.gov/PublicForms/550/3001.pdf>

Form 4052, Application for Business Entity Insurance License, March 2014,
<http://scc.virginia.gov/PublicForms/580/4052.pdf>

Form 4151, Appointment Form, February 2012, <http://scc.virginia.gov/PublicForms/581/4151.pdf>

Form 4921, Appointment Cancellation Form, February 2012,
<http://scc.virginia.gov/PublicForms/582/4921.pdf>

Form 5001, Service Request Form, May 2014, <http://scc.virginia.gov/PublicForms/584/5001.pdf>

Licensing Requirements for Corporations, Limited Liability Companies and Partnerships, November 2011 http://scc.virginia.gov/boi/pro/files/entity_req.pdf

Insurance Consultant Licensing and Renewal Procedures, May 2013,
<http://scc.virginia.gov/boi/pro/files/consult.pdf>

Nonresident Licensing Procedures, July 2013, <http://scc.virginia.gov/boi/pro/files/nonres.pdf>

Surplus Lines Broker Licensing and Renewal Procedures, November 2014,
http://scc.virginia.gov/boi/pro/files/slb_lic.pdf

Viatical Settlement Broker Licensing and Renewal Procedures, September 2012,
<http://scc.virginia.gov/boi/pro/files/viatical.pdf>

Forms for Surplus Lines Insurance:

Form 3001, Application for Individual Insurance License, March 2014,
<http://scc.virginia.gov/PublicForms/550/3001.pdf>

Form 4052, Application for Business Entity Insurance License, March 2014,
<http://scc.virginia.gov/PublicForms/580/4052.pdf>

Form SLB-2, Bond for Surplus Lines Broker, January 2004,

<http://scc.virginia.gov/PublicForms/583/slb-2.pdf>

Form SLB-8, Annual Assessment Report, revised 2013 <http://www.scc.virginia.gov/boi/pro/slb.aspx>

Form SLB-9, Notice of Insured, effective September 1996

<http://www.scc.virginia.gov/boi/pro/slb.aspx>

Forms and Guides Respecting Licensing of Public Adjusters (Individuals and Agencies):

Public Adjuster Licensing, Renewal and Continuing Education Guide, May 2014,

http://www.scc.virginia.gov/boi/pro/files/adj_guide.pdf

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. The mailing address is P.O. Box 1197, Richmond, VA 23218-1197.

Guidance Documents:

Capital Formation Alternatives for Small Business in Virginia, October 2013

www.scc.virginia.gov/srf/bus/smbusalt.aspx

NASAA Statements of Policy, July 2009 (Virginia Securities Act, 21VAC5-30-80)

<http://law.lis.virginia.gov/admincode/title21/agency5/chapter30/section80>

Investor Education Publications:

Securities Consumer's Guide, March 2001 (Virginia Securities Act)

<http://www.scc.virginia.gov/srf/cons/files/secbook.pdf>

Securities Complaint Form, June 2003 (Virginia Securities Act)

<http://www.scc.virginia.gov/publicforms/266/complnt.pdf>

Virginia Securities Act Forms:

Broker-Dealer

Uniform Application for Broker-Dealer Registration (Form # BD), revised January 2008

<http://www.scc.virginia.gov/srf/bus/forms.aspx>

Broker-Dealer's Surety Bond (Form # S.A. 11), July 1999

<http://www.scc.virginia.gov/publicforms/269/sa11.pdf>

Application for Renewal of a Broker-Dealer's Registration (Form # S.A. 2), July 1999

<http://www.scc.virginia.gov/publicforms/270/sa2.pdf>

Uniform Notice of Termination or Withdrawal of Registration as a Broker-Dealer (Form # BDW),
January 2008 <http://www.scc.virginia.gov/srf/bus/forms.aspx>

Affidavit of Undertaking to the Virginia Division of Securities and Retail Franchising (Form # AFF
1), April 2015 <http://www.scc.virginia.gov/srf/bus/forms.aspx>

Broker-Dealer Agent

Application for Renewal of Registration as an Agent of an Issuer (Form # S.D. 4), 1997

<http://www.scc.virginia.gov/publicforms/271/sd4.pdf>

Non-FINRA Broker-Dealer or Issuer Agents to be Renewed Exhibit (Form # S.D. 4 A), 1974

<http://www.scc.virginia.gov/publicforms/272/sd4a.pdf>

Non-FINRA Broker-Dealer or Issuer Agents to be Canceled with no Disciplinary History (Form #
S.D. 4 B), 1974 <http://www.scc.virginia.gov/publicforms/273/sd4b.pdf>

Non-FINRA Broker-Dealer or Issuer Agents to be Canceled with Disciplinary History (Form # S.D. 4 C), 1974 <http://www.scc.virginia.gov/publicforms/274/sd4c.pdf>

Uniform Application for Securities Industry Registration or Transfer (Form # U-4), May 2009
<http://www.scc.virginia.gov/srf/bus/forms.aspx>

Uniform Termination Notice for Securities Industry Registration (Form # U-5), May 2009
<http://www.scc.virginia.gov/srf/bus/forms.aspx>

Agent Multiple Employment Agreement (Form # S.A. 16), July 2007
<http://www.scc.virginia.gov/publicforms/276/sa16.pdf>

Affidavit Regarding SCOR Offering (Form # Aff), July 1999
<http://www.scc.virginia.gov/publicforms/275/scoraff.pdf>

Investment Advisor

Uniform Application for Registration of Investment Advisors (Form # ADV), July 2010
<http://www.scc.virginia.gov/srf/bus/forms.aspx>

IA Surety Bond Form (Form # IA-sure), July 1999
<http://www.scc.virginia.gov/publicforms/277/iasb.pdf>

Notice of Withdrawal from Registration as Investment Advisor (Form # ADV-W), October 2003
<http://www.scc.virginia.gov/srf/bus/forms.aspx>

Affidavit of Understanding to the Virginia Division of Securities and Retail Franchising (Form # AFF 2), April 2015 <http://www.scc.virginia.gov/srf/bus/forms.aspx>

Affidavit of Understanding to the Virginia Division of Securities and Retail Franchising (Form # AFF 3), April 2015 <http://www.scc.virginia.gov/srf/bus/forms.aspx>

Investment Advisor Representative

Uniform Application for Securities Industry Registration or Transfer (Form # U-4), May 2009
<http://www.scc.virginia.gov/srf/bus/forms.aspx>

Uniform Termination Notice for Securities Industry Registration (Form # U-5), May 2009

<http://www.scc.virginia.gov/srf/bus/forms.aspx>

Investment Advisor Representative Multiple Employment Agreement (Form # S.A. 15), July 2007

<http://www.scc.virginia.gov/publicforms/279/sa15.pdf>

Affidavit for Waiver of Examination (Form # S.A. 3), July 1999

<http://www.scc.virginia.gov/publicforms/278/sa3.pdf>

Securities Registration

Intrastate Crowdfunding Exemption (ICE) Notice Filing Form (Form # ICE), July 2015

<http://www.scc.virginia.gov/publicforms/625/ice.docm>

Uniform Application to Register Securities (Form # U-1), July 1981

<http://www.scc.virginia.gov/publicforms/280/u1.pdf>

Uniform Consent to Service of Process (Form # U-2), July 1981

<http://www.scc.virginia.gov/publicforms/281/u2.pdf>

Uniform Form of Corporate Resolution (Form # U-2a), July 1999

<http://www.scc.virginia.gov/publicforms/282/u2a.pdf>

Small Company Offering Registration - SCOR (Form # U-7), September 1999

<http://www.scc.virginia.gov/srf/bus/forms.aspx>

Registration by Notification - Original Issue (Form # S.A. 4), November 1996

<http://www.scc.virginia.gov/publicforms/283/sa4.pdf>

Registration by Notification - Non-Issuer Distribution (Form # S.A. 5), November 1996

<http://www.scc.virginia.gov/publicforms/284/sa5.pdf>

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>

Registration by Qualification (Form # S.A. 8), July 1991

<http://www.scc.virginia.gov/publicforms/286/sa8.pdf>

Escrow Agreement (Form # S.A. 12), 1971 <http://www.scc.virginia.gov/publicforms/287/sa12.pdf>

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
<http://www.scc.virginia.gov/publicforms/289/va1.pdf>

Uniform Investment Company Notice Filing (Form # NF), April 1997
<http://www.scc.virginia.gov/publicforms/290/nf.pdf>

Notice of Exempt Offering of Securities (Form # SEC Form D), revised September 2013
<http://www.scc.virginia.gov/srf/bus/forms.aspx>

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 - CR (Form # CR-Equity-1), August 2003
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

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
<http://www.scc.virginia.gov/publicforms/296/formc.pdf>

Affidavit of Compliance - Franchise Amendment/Renewal (Form # E), July 2008
<http://www.scc.virginia.gov/publicforms/298/forme.pdf>

Guarantee of Performance (Form # F), March 2013

<http://www.scc.virginia.gov/publicforms/299/formf.pdf>

Franchisor's Surety Bond (Form # G), July 1999

<http://www.scc.virginia.gov/publicforms/300/formg.pdf>

Notice of Claim of Exemption (Form # H), July 2008

<http://www.scc.virginia.gov/publicforms/301/formh.pdf>

Escrow Agreement (Form # K), July 2007 <http://www.scc.virginia.gov/publicforms/302/formk.pdf>

Application for Coordinated Review of Franchise Registration (Form # CR-FRAN), June 1999

http://www.scc.virginia.gov/publicforms/303/cr_fran.pdf

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. 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 James Hotinger, Assistant Director, Division of Utility and Railroad Safety, 1300 East Main Street, 4th Floor, Richmond, VA 23219, telephone (804) 371-9843, FAX (804) 371-9734, or email james.hotinger@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>

Virginia Care Brochure: A Guide for Safe Excavation or Demolition, July 2011, 2 pages
<http://www.scc.virginia.gov/urs/mutility/docs/carebroch.pdf>

Virginia Underground Utility Marking Standards, February 2014, 24 pages
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

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

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>

For copies of the following DVDs, email 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, July 2009, § 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, Kathleen Cummings, 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>.

Guidance Documents:

Hard copies are available. Contact the Division of Utility Accounting and Finance at (804) 371-9950 or by email at accounting@scc.virginia.gov.

Uniform System of Accounts for Telecommunications Companies, Part 32 of Federal Communications Commission Rules and Regulations, revised October 1, 2014 § 56-249

Uniform System of Accounts for Electric Utilities, Part 101 promulgated by the Federal Energy Regulatory Commission, revised April 1, 2015, § 56-249

Uniform System of Accounts for Natural Gas Companies, Part 201 promulgated by the Federal Energy Regulatory Commission, revised April 1, 2015, § 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, 2015, § 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

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

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 15, 2015, 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, 4th 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. 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, Principal Utility Appraiser, Public Service Taxation Division, State Corporation Commission, Tyler Building, 4th Floor, 1300 East Main Street, Richmond, VA 23219, telephone (804) 371-9855, (FAX) 804 371-9797, or email 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 2014, § 58.1-2628

<http://www.scc.virginia.gov/publicforms/129/etax.pdf>

CCTD-6, Tax Report, Telecommunications Companies, revised December 2014, § 58.1-2628

<http://www.scc.virginia.gov/publicforms/143/teltax.pdf>

CCTD-7, Tax Report, Gas Companies, revised December 2014, § 58.1-2628

<http://www.scc.virginia.gov/publicforms/133/gtax.pdf>

CCTD-8, Tax Report, Water Companies, revised December 2014, § 58.1-2628

<http://www.scc.virginia.gov/publicforms/145/wtax.pdf>

CCTD-9, Report of Certificated Motor Vehicle Carriers for the Assessment of Rolling Stock, revised December 2014, § 58.1-2654 <http://www.scc.virginia.gov/publicforms/137/rolstock.pdf>

CCTD-10, Report for Special Tax on Common Carriers by Motor Vehicle, revised December 2014, § 58.1-2663 <http://www.scc.virginia.gov/publicforms/135/mctax.pdf>

CCTD-11, Report for Special Tax on Virginia Pilots' Association, revised December 2014, § 58.1-2663 <http://www.scc.virginia.gov/publicforms/139/patax.pdf>

CCTD-12, Report of Railroad Companies - Statement of Gross Transportation Receipts, revised December 2014, § 58.1-2663 <http://www.scc.virginia.gov/publicforms/141/rrtax.pdf>

CCTD-ET-1, Declaration of Estimated Gross Receipts Tax, December 2014, §§ 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/publicforms/131/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/publicforms/132/gmon.pdf>

Real Estate Transaction Form Purchase/Conveyance, 2013, § 58.1-2628

<http://www.scc.virginia.gov/publicforms/128/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/publicforms/147/psp.pdf>

Application for Registration as an Operator Service Provider, revised December 2013
<http://www.scc.virginia.gov/publicforms/149/osp.pdf>

SCC 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 2014 are available on the commission website at 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.