

**FORM C – INSTRUCTIONS  
FOR SUMMARY OF CHANGES TO REGISTRATION STATEMENT  
PURSUANT TO § 38.2-1329 OF THE CODE OF VIRGINIA.**

[Note: The following form and instructions pertain to rules regarding Insurance Holding Companies at **14 VAC 5-260** of the Virginia Administrative Code issued by the Virginia State Corporation Commission for entities subject to regulation through the Bureau of Insurance.]

**I. Regulation as to Use of Form C.**

(1) The information required by these instructions shall constitute a Form C filing and may be referred to as a Summary of Registration Statement. An insurer required to register with the Commission pursuant to § 38.2-1329 of the Code of Virginia shall use Form C to prepare a summary outlining all items in the current registration statement representing changes from the prior registration statement. The Summary of Registration Statement shall be filed with the Commission annually by April 30. It shall accompany the restated up-to-date registration statement which each insurer subject to registration pursuant to § 38.2-1329 of the Code of Virginia is required to file with the Commission.

**II. Preparation of Statement.**

This form is not to be used as a blank form to be filled in but only as a guide in the preparation of the statement. The summary shall contain the numbers and captions of all items, but the text of the items may be omitted provided the answers thereto are prepared in such a manner as to indicate clearly the scope and coverage of the items. All instructions, whether appearing under the items of the form or elsewhere therein, are to be omitted. Unless expressly provided otherwise, if any item is inapplicable or the answer thereto is in the negative, an appropriate statement to that effect shall be made.

**III. Number of Copies; Signatures.**

(1) The original and one hardcopy of each Form C filing shall be filed with the Commission by personal delivery or mail addressed to: State Corporation Commission - Bureau of Insurance, ATTN: Financial Regulation Division, P.O. Box 1157, Richmond, VA 23218 (Tyler Building - 6th Floor, 1300 East Main Street, 23219). An electronic copy may be filed in lieu of the hardcopy in a manner determined by the Commission.

(2) At least one copy of each Form C filing filed with the Commission shall be signed in the manner prescribed by this form. Unsigned copies shall be conformed.

(3) If the signature of any person is affixed pursuant to a power of attorney or other similar authority, a copy of such power of attorney or other authority shall also be filed with the Form C filing.

#### **IV. Requirements as to Printing and Language.**

(1) The Form C filing should be prepared electronically in PDF format. Hardcopy Form Cs should be prepared on paper 8 1/2"x11" in size and preferably bound at the top or the top left-hand corner.

(2) Pages shall be consecutively numbered, clear, easily readable, and suitable for review and reproduction.

(3) Statements shall be in the English language and monetary values shall be stated in United State currency.

**SUMMARY OF CHANGES TO REGISTRATION STATEMENT**

filed with the

**COMMONWEALTH OF VIRGINIA  
STATE CORPORATION COMMISSION  
Bureau of Insurance**

DATE: \_\_\_\_\_

by

\_\_\_\_\_  
Name of Registrant

**On Behalf of the Following Insurance Companies**

_____ Name	_____ NAIC No.	_____ Dom. State
_____ Name	_____ NAIC No.	_____ Dom. State
_____ Name	_____ NAIC No.	_____ Dom. State

Name, Title, Address, and Telephone Number of Individual to Whom Notices and Correspondence Concerning this Statement Should be Addressed:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**FORM C**

Furnish a brief description of all items in the current annual registration statement which represent changes from the registrant's initial registration statement or the prior year's annual registration statement, whichever was most recently filed. The description shall be in a manner as to permit the proper evaluation thereof by the Commission, and shall include specific references to Item numbers in the annual registration statement and to the terms contained therein.

Changes occurring under Item 2 of Form B insofar as changes in the percentage of each class of voting securities held by each affiliate is concerned, need only be included where such changes are ones which result in ownership or holdings of ten percent (10%) or more of voting securities, loss or transfer of control, or acquisition or loss of partnership interest.

Changes occurring under Item 4 of Form B need only be included where: (i) an individual is, for the first time, made a director or executive officer of the ultimate controlling person; (ii) a director or executive officer terminates his or her responsibilities with the ultimate controlling person; or (iii) an individual is named president of the ultimate controlling person.

If a transaction disclosed on the registration statement for the prior year has been changed, the nature of such change shall be included. If a transaction disclosed on the prior year's registration statement has been effectuated, furnish the mode of completion and describe any flow of funds between affiliates resulting from the transaction.

The insurer shall furnish a statement that transactions entered into since the filing of the Registrant's registration statement for the prior year are not part of a plan or series of like transactions whose purpose it is to avoid statutory threshold amounts and the review that might otherwise occur.

**SIGNATURE AND OATH**

Signature and oath shall be in the following form:

**SIGNATURE**

Pursuant to the requirements of § 38.2-1324 of the Code of Virginia and 14 VAC 5-260 of the Virginia Administrative Code, Registrant has caused this Form C Summary of Changes to Registration Statement to be duly signed on its behalf in the City/County of \_\_\_\_\_ and State of \_\_\_\_\_ on the \_\_\_\_ day of \_\_\_\_\_, 20 \_\_\_\_.

(SEAL)

By: \_\_\_\_\_  
Name of Registrant  
\_\_\_\_\_  
(Name) (Title)

Attest:  
\_\_\_\_\_  
(Signature of Officer)

Title: \_\_\_\_\_

OATH

The undersigned deposes and says that (s)he has duly executed the attached application dated \_\_\_\_\_, 20 \_\_\_\_, for and on behalf of \_\_\_\_\_  
(Name of Registrant)  
that (s)he is the \_\_\_\_\_ of such company; and that (s)he has the  
(title of officer)  
authority to execute and file such instrument. Deponent further says that (s)he is familiar with such instrument and the contents thereof, and that the facts therein set forth are true to the best of his (her) knowledge, information and belief.

\_\_\_\_\_  
(Signature)  
\_\_\_\_\_  
(Type or print name beneath signature)

Subscribed and sworn to before me this \_\_\_\_ day of \_\_\_\_\_, 20 \_\_.

(SEAL)

\_\_\_\_\_  
Notary Public in and for the  
City/County of \_\_\_\_\_  
State of \_\_\_\_\_

My commission expires on the \_\_\_\_ day of \_\_\_\_\_, 20 \_\_.