



**Third Party Administrator License
Initial Application Checklist**

ORC Chapter 3959. and OAC Rule 3901-8-05

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- Completed TPA application form. ORC section 3959.06(A).
 - Non-refundable \$200.00 filing fee. ORC section 3959.06(B); OAC Rule 3901-8-05(E)(4). (Check or Money Order made payable to the "State of Ohio Treasurer.")
 - Applicant is at least 18 years of age (if natural person). OAC Rule 3901-8-05(C)(2).
 - Non-Resident Applicant:
 - Holds a TPA license in home state. OAC Rule 3901-8-05(D)(2).
 - Provide proof of Home State Licensure:
 - Home State Certification Letter
 - Copy of license.
 - Copy of proof of license from Home State web site.
 - Copy of print out from National Producer Data Base.
 - Other: _____
- OR -
- TPA license is not required in applicant's home state. Applicant shall provide proof from the home state that the applicant does not require a TPA license in that state. OAC 3901-8-05(D)(3).
- Applicant provided proof that the TPA holds a fidelity bond or other comparable insurance policy coverage for all employees as required by ORC 3959.11 and OAC 3901-8-05(D)(5).
- Applicant provided proof that the TPA carries any type of professional liability and/or E&O insurance for TPA activities as required by ERISA.
- Neither Applicant nor any of its officers, directors or partners has had any license suspended or revoked or any application for a license denied for cause by ODI or other state insurance regulator. ORC section 3959.12(A)(8).
- For corporate applicants, add the following information in the section of the application asking for identification of at least one Designated/Responsible licensed producer: **TPA RDA Agent – SSN 888-38-8888 (License #931378)**.
- For corporate applicants domiciled in Ohio, a copy of proof of registration filed with the Ohio Secretary of State. OAC Rule 3901-8-05(E)(1).
- For corporate applicants domiciled outside of Ohio, a copy of proof of registration filed with the Secretary of State in the state of domicile. OAC Rule 3901-8-05(E)(2).
- For corporate applicants domiciled outside of Ohio, the applicant must register to do business in Ohio with the Ohio Secretary of State, if so required by section 1703.03, 1705.54, or 1775.64 of the Revised Code.
- For corporate applicants provide a statement that applicant does not commingle among its personal assets, or draw against for its own purposes, any monies or contributions of a plan sponsor or plan participant. OAC Rule 3901-8-05(H)(1).
- For corporate applicants provide a statement that the applicant and its officers shall be responsible for the supervision of the actions of any and all personnel and subcontractors who adjust or settle claims on behalf of the applicant. OAC Rule 3901-8-05(E)(3).
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