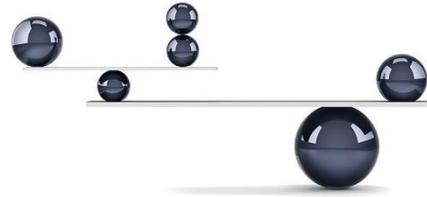


## Insurance Regulatory & Compliance

# Covering your insurance regulatory & compliance needs locally & nationally



### When you need assistance with

- forming and licensing an insurance company in its state of domicile or in a new state
- moving an insurance company's primary domicile from one state or jurisdiction to another
- complying with statutes and regulations that apply to insurance companies, agencies, and producers
- resolving issues arising from the regulation of insurance entities by state Departments of Insurance and other governmental agencies

our team is ready.

### Interdisciplinary team

- Corporate transactional attorneys experienced in mergers, acquisitions, and reorganizations in multiple industries, including insurance
- Experience to be asked by Departments of Insurance to assist in drafting and advancing statutory and regulatory amendments
- Perspective to anticipate the impact of those amendments and guidelines on insurance companies, agencies, and producers

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### Our clients are insurance companies, insurance agencies, and insurance producers, each operating in a unique, but inter-related regulatory system

Our experience includes working with clients across the insurance landscape and of all sizes, including

- Property & Casualty insurance companies
- Life & Health insurance companies
- Health Maintenance Organizations

### Related Practice Areas

[Bad Faith & Extra Contractual Litigation](#)

[Captive Insurance](#)

[Corporate & Securities](#)

[Corporate Governance](#)

[Directors & Officers Liability Coverage](#)

[E-Discovery - Encompass](#)

[E-Discovery & Information Governance](#)

[Insurance](#)

[Life, Health, Disability & ERISA Litigation](#)

[Property & Casualty Coverage](#)

### Related Industries

[Insurance](#)

- Stock and mutual insurance companies and reciprocal exchanges
- Captive insurance companies
- Insurance agencies
- Individual insurance producers
- Managing general agencies

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**Our team has the experience to help you manage the wide array of statutes, regulations, and interpersonal relationships that face everyone in the insurance industry**

Attorneys on our Insurance Regulatory and Compliance team work face-to-face with our clients, insurance regulators, and other insurance industry service providers to help us maintain very good working relationships.

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**Our attorneys are client-focused problem solvers and risk managers**

Our priority is to help you effectively, efficiently, and satisfactorily address current issues and to help you anticipate circumstances that may lead to problems in the future:

- **Insurance company licensing**, including licensing of traditional insurance companies in their state of domicile and additional states, and drafting corporate formation documents
- **Redomestication** from one domicile to another
- **Fundamental transactions of mutual insurance companies**, including conversion to stock insurance companies and bulk reinsurance and assumption agreements.
- **Representation of insurers at Department of Insurance adjudications.**
- **Insurance Holding Company Regulatory Act compliance** through drafting and coordination of:
  - Approval of acquisitions of insurance companies through the Form A process
  - Annual insurance company registration process, including submission of Form B, Annual Registration Statement; Form C, Changes in Annual Registration Statement; and Form F, Enterprise Risk Management
  - Submission and regulatory approval of material inter-company transactions on Form D, Prior Notice of a Transaction
  - Submission of disclaimers of affiliation
- **Monitor insurance legislation and regulation** to be aware of changes and proactively inform our clients
- **Corporate governance**, including providing counsel regarding shareholder, member, or subscriber issues; drafting documents for insurance companies to hold annual meetings of shareholders, members, or subscribers, including proxy statements and facilitating the proxy voting process; and serving as counsel to clients at annual meetings
- **Mergers and acquisitions** advice with regard to Directors & Officers Liability Insurance, Representations & Warranties Insurance, and due diligence review issues

- **Regulatory compliance** with financial examinations, market conduct examinations, anti-fraud plans, and issues involving the relationship of insurance companies and their agencies and producers including the description of binding authority and state limitations on agency termination
- **Insurance company financial strength** and viability issues arising from obtaining, downgrades of, and lack of A.M. Best Co, ratings

## Why Nelson Mullins?

- Deep experience and knowledge of the insurance industry, including insurance companies, insurance agencies, and individual insurance producers
- Extensive experience in licensing traditional and captive insurance companies in multiple jurisdictions
- Insurance Regulatory & Compliance Team works collaboratively with other teams in the Firm to enable cross-team advice regarding virtually any issue an insurance entity may face
- Geographic locations

## Experience

Following is a selected sampling of matters and is provided for informational purposes only. Past success does not indicate the likelihood of success in any future matter.

- Served as regulatory counsel to more than 50 captive insurance companies
- Reviewed and advised insurance company regarding policy language in all lines of coverage
- Reviewed and advised on complex reinsurance arrangements between insurance companies and reinsurance companies
- Advised on redomestication of domestic and offshore captive insurance companies