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Title 28@ Managed Health Care

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Division 1@ The Department of Managed Health Care

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Chapter 2@ Health Care Service Plans

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Article 3@ Plan Applications and Amendments

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Section 1300.51.3@ Preparation and Amendment of Application for License as a Health Care Service Plan Under

Section 1300.51

1300.51.3 Preparation and Amendment of Application for License as a Health Care Service Plan Under Section 1300.51

(a)

General Instructions.(1) Type the information requested in the English language using black ribbon. (2) Complete each item on the application, and type "N/A" in the right hand margin for those items which are not applicable. (3) Number each exhibit as specified in the item to which the exhibit responds. If several exhibits are required under the same letter/number designation, add a sequential letter or roman numeral as indicated in the following example. Example: If Item Q-1 calls for copies of the specified documents, an applicant employing three different documents would label them as follows: Exhibit Q-1-a; Exhibit Q-1-b; Exhibit Q-1-c. (4) Arrange all exhibits in sequential order. Attach a "tab" to the right margin of the first page of each major exhibit or series of exhibits to facilitate ready reference. (5) Submit originals only when requested. Otherwise, submit clearly legible mechanical reproductions. (6) Submit requested information as an exhibit if the space provided in the application form itself is insufficient. Use the procedure detailed in Item (3), above, to indicate the exhibit number. (7) Submit three complete copies of the original license application and each amendment submitted prior to licensure to the Department's Sacramento Office to the attention of the Health Plan Division Filing Clerk.

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Submit three complete copies of the original license application and each amendment submitted prior to licensure to the Department's Sacramento Office to the attention of the Health Plan Division Filing Clerk.

(b)

Amendment of an Application. (1) An amendment to application either before or after issuance of a license must comply with Rule 1300.52. However, Rules 1300.52.1 and 1300.52.2 apply only after an applicant has been licensed.

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(c)

Updating Application Prior to Licensure. In addition to complying with Rule 1300.52, an amendment to a pending application shall comply with the following:

(1) Material changes (see Rule 1300.45(1)) to information previously submitted in connection with an application (as amended to date) shall be submitted as an amendment to the license application immediately, except as provided in subsection (f) of Rule 1300.52. (2) Nonmaterial changes to the information previously submitted in connection with an application (as amended to date) may be accumulated and shall be submitted as an amendment to the license application monthly or within 30 days (or other period requested by the Director) of each such change. (3) Financial statements and calculations of tangible net equity previously submitted in connection with an application (as amended to date) shall be updated to an amendment to the license application which shall consist of quarterly financial statements (see Rule 1300.84.2a(1), (2), and (3)) and a calculation of applicant's tangible net equity as of the closing date of such quarter, and shall be filed within 30 days after the close of each quarter of applicant's fiscal year.

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Financial statements and calculations of tangible net equity previously submitted in connection with an application (as amended to date) shall be updated to an amendment to the license application which shall consist of quarterly financial statements (see Rule 1300.84.2a(1), (2), and (3)) and a calculation of applicant's tangible net equity as of the closing date of such quarter, and shall be filed within 30 days after the close of each quarter of applicant's fiscal year.