



# SERIES BUSINESS UNIT IMPLEMENTATION

Upon completion and approval of a SBU design for the client, Active Captive Management, LLC (ACM) will commence with the application and submission process to achieve approval with the Department of Insurance, for a SBU. ACM's Operations team will coordinate with the client all necessary documentation required for licensing. The following items will be provided:

- ▲ Special Purpose Captive Series Agreement Establishing the Relationship with the SBU
- ▲ Series Business Unit Application for Admission
- ▲ Biographical Affidavit to be completed by SBU President and Beneficial Owners
- ▲ Request for current parent company Balance Statement and Profit & Loss (unaudited)
- ▲ Formation and Management Services Engagements
- ▲ Premium and Coverage Design
- ▲ Feasibility Study and ProForma
- ▲ Capitalization Guidance

## ACTIVE CAPTIVE DOMESTIC SBU MANAGEMENT SERVICES

As the Special Purpose Captive Manager, ACM will provide the following:

### **SBU Design**

- ▲ Insurance coverage and risk analysis design
- ▲ Business entity analysis
- ▲ Feasibility study and financial ProForma
- ▲ Coverage premium assessment with actuary
- ▲ Capitalization Requirement

### **Licensing and Formation**

- ▲ Insurance license application
- ▲ Insurance jurisdiction approval
- ▲ Incorporation
- ▲ Selection of Actuary, Auditor and Tax Preparer

### **SBU Regulatory Compliance**

- ▲ Consolidated Accounting & Regulatory Compliance at the Core level
- ▲ Annual Captive efficiency review
- ▲ Liaison with Investment Manager Liaison with Tax Preparer
- ▲ Liaison with the Department of Insurance

### **Insurance Management**

- ▲ Policy Administration
- ▲ Annual risk coverage and premium analysis
- ▲ Claims Reports and Management



# SPECIAL PURPOSE CAPTIVE PROGRAM

Special Purpose Captive provides central management: lines of coverage, regulatory compliance and consolidated financials.

Series Business Units ("SBU") represent individual clients.

An individual SBU is associated with the Special Purpose Captive.

Ownership of an individual SBU is outside of the Special Purpose Captive and not associated with other SBU members.



Sample SBU clients can include:

- ▲ Automotive
- ▲ Communications
- ▲ Distribution & Packaging
- ▲ Financial Services
- ▲ Franchising
- ▲ Food & Beverage
- ▲ Healthcare
- ▲ Manufacturing
- ▲ Medical and Dental Practices
- ▲ Multi-Level Retail
- ▲ Natural Food Products
- ▲ Real Estate
- ▲ Transportation
- ▲ Technology
- ▲ Fuel, Oil & Gas
- ▲ Hospitality Storage
- ▲ Facility
- ▲ Engineering



**ACTIVE  
CAPTIVE**  
MANAGEMENT

25361 Commercentre Drive  
Suite 150, Lake Forest, CA 92630  
(800) 921-0155 | [www.activecaptive.com](http://www.activecaptive.com)