

INSTRUCTIONS FOR COMPLETING AN ERM-14 FORM

I. Page 1: Mark the box(es) that correspond(s) to the ownership Change(s). Provide the effective date of the change. Also, provide the date the change was reported to the insurance provider. See descriptions and instructions below for each type of change.

Name and/or legal entity change

A change occurred to the name or legal status of a business (e.g. change from LLC to INC, Jane Doe to ABC Roofing, Inc., etc.).

Instructions: On page 1 Entity 1, fill in the information for the name and legal status of the business prior to the change. On page 2 Entity 2, fill in the information for the new business name and or legal status.

Sale transfer or conveyance of all or a portion of an entity's ownership interest

A change has occurred to the ownership of a business.

Instructions: On page 1 Entity 1, fill in the information for the business prior to the change. On page 2 Entity 2, fill in the new information for the business.

Sale transfer or conveyance of an entity's physical assets to another entity that takes over its operations

A business purchases another business—or purchases the assets and takes over the operation of a business—and the seller retains the legal business entity name.

Instructions: On page 1 Entity 1, fill in the information for the business that was sold. On page 2 Entity 2, fill in the information for the purchasing business.

Merger or consolidation (attach a copy of agreement)

Two or more businesses consolidate to form a single business.

Instructions: On page 1 Entity 1, fill in the information for one of the merging businesses. On page 2 Entity 2, fill in the information for another merging business. On page 2 Entity 3, fill in the information for the single remaining business after the merger is complete.

Formation of a new entity that acts as, or in effect is, a successor to another entity that: (a) Has dissolved (b) Is non-operative (c) May operate in a limited capacity

A new business is formed or replaces a business that has dissolved, or a new business is formed and the prior business is non-operative or operating in a limited capacity.

Instructions: On page 1 Entity 1, fill in the information for the prior business. On page 2 Entity 2, fill in the information for the new business.

An irrevocable trust or receiver, established either voluntarily or by court mandate

A change has occurred to the business, either voluntarily or by court mandate.

Instructions: On page 1 Entity 1, fill in the information for the business prior to the change. On page 2 Entity 2, fill in the new information for the business.

Determination of combinability of separate entities

Due to one of the above changes, one or more businesses may become combinable for experience rating purposes. See webinar "Basics of Experience Rating Ownership" for further details.

Instructions: Complete an ERM-14 for the change that occurred to require a determination of combinability (e.g., new entity formed, change in ownership, merger, etc.). After the first ERM-14 is complete, fill out a second ERM-14 for the combinability. On page 1 Entity 1, fill in the information for one of the businesses. On page 2 Entity 2, fill in the information for the second business. On page 2 Entity 3, fill in the information for the third business, if applicable. Submit both ERM-14s together.

II. Page 2: Section B—Answer all questions, which continue on to page 3. If you answered yes to questions 1, 2, or 3, provide the ownership for each entity listed in addition to the information requested in question 4.

III. Page 3: Provide the ownership information; include percentages of ownership for each business and each owner listed on the ERM-14. General partners are required for the following business: LP or LTD (Limited Partnership), FLP (Family Limited Partnership), and LLLP (Limited Liability Limited Partnership). Provide a narrative for the change that took place in Section C. A signed narrative can also be submitted on the insured's letterhead and submitted with the ERM-14.

IV. Page 4: Fill in the information in Section E. The form must be signed by an owner, partner, member, or executive officer. Submit the form and supporting documents to CopperPoint by one of the following methods:

Fax: 602.631.2888
US Mail: 3030 N 3rd St Phoenix AZ 85012

CopperPoint will make any appropriate changes to your policy and forward this form to NCCI.

Additional Information

- The ERM-14 is available on ncci.com in PDF format and can be accessed by clicking this link
- FEIN—refers to Federal Employer Identification Number
- Pages 2 and 3 can be photocopied as needed for more than three entities
- If you require additional space to explain the transaction or the change, please supplement the form with a narrative on the employer’s letterhead, signed by an owner, partner, or executive officer
- After entering the information online, you must print the form in order to obtain the signature

Webinars

For your convenience, webinars that cover ownership and the ERM-14 form are available on ncci.com. Click the links below to access the webinars. You may also go to ncci.com, click Education and choose Experience Rating from the list. You will be brought to a page with a list of webinars. Select the following:

- How to Complete the ERM-14 Form—Webinar on Demand
- Basics of Experience Rating Ownership—Webinar on Demand
- Helpful Hints when completing the ERM 14 in the PDF Format

ERM 14 FORM IN PDF FORMAT

The ERM-14 form is available to our customers in a PDF document that can be updated. You can electronically enter your information to report changes in ownership, name and/or legal status changes, or a combination of entities.

This is a filed and approved form. NCCI has protected the content in order to avoid any changes to the document. The form can only be printed; it cannot be saved to your system. Please print a copy for your records.

In order to access the online ERM-14 form, Adobe® Reader® must be installed on your computer. If you don’t already have this software, you can download the latest version of Adobe® Reader® at no charge from www.adobe.com.

Helpful Hints for Completing the ERM-14 Form in the PDF Format

- To easily navigate through the form, use your mouse or Tab key. (Note: The Enter key will bring you to the end of the form.)
- Using your mouse, click the appropriate boxes for “check all that apply” categories
- You can enter information in the allotted space provided on the form. If the information you type exceeds the allotted space provided, not all of the information will be viewed on the form.