### National Treatment and Coordination (E) Working Group

**Company Licensing Proposal Form**

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<th>DATE:</th>
<th>2/18/2015</th>
<th>FOR NAIC USE ONLY</th>
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<tbody>
<tr>
<td>CONTACT PERSON:</td>
<td>Jane Barr</td>
<td>Agenda Item # 2015-2</td>
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<td>TELEPHONE:</td>
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<td>EMAIL ADDRESS:</td>
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<tr>
<td>ON BEHALF OF:</td>
<td>Biographical Third-Party Review Subgroup</td>
<td></td>
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<tr>
<td>NAME:</td>
<td>Gayle Pasero</td>
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<tr>
<td>TITLE:</td>
<td>Company Licensing Manager</td>
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#### IDENTIFICATION OF SOURCE AND FORM(S)/INSTRUCTIONS TO BE CHANGED


Forms:
- [ ] Form 1 – Checklist
- [ ] Form 6- Certificate of Compliance
- [ ] Form 8C- Corporate Amendment Questionnaire
- [ ] Form 11-Biographical Affidavit
- [ ] Form 15 – Affidavit of Lost C of A
- [ ] Form 16 – Voluntary Dissolution
- [ ] Form 17 – Statement of Withdrawal

#### DESCRIPTION OF CHANGE(S)

Add part (d) to Question 15 of the Biographical Affidavit to ask, “Has the company entered into any agreement and made payment to a regulatory body in lieu of any civil, criminal, administrative, regulatory, or disciplinary action? Yes or No. Also, to incorporate “d” when asked “If the answer to any of the above is yes, please give details. When responding to questions (b), (c) and (d) the affiant should also include any events within twelve (12) months…?”

#### REASON OR JUSTIFICATION FOR CHANGE **

To provide clarity in capturing all payments made to a regulatory body, whether it is consider a fine, penalty or agreement.

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**Additional Staff Comments:**

3-11-15 Question 15d was reworded to remove “in lieu of any litigation” and replaced with “in lieu of any civil, criminal, administrative, regulatory, or disciplinary action” before the proposal was exposed for a 30-day comment period.

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**This section must be completed on all forms.**

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BIOGRAPHICAL AFFIDAVIT

To the extent permitted by law, this affidavit will be kept confidential by the state insurance regulatory authority.

(Print or Type)

Full name, address and telephone number of the present or proposed entity under which this biographical statement is being required (Do Not Use Group Names).

_________________________________________________________  __________________________________________________________

_________________________________________________________  __________________________________________________________

In connection with the above-named entity, I herewith make representations and supply information about myself as hereinafter set forth. (Attach addendum or separate sheet if space hereon is insufficient to answer any question fully.) IF ANSWER IS “NO” OR “NONE,” SO STATE.

1. Affiant’s Full Name (Initials Not Acceptable): First:___________Middle:____________Last:________________

2. a. Are you a citizen of the United States?  
   Yes ☐  No ☐
   b. Are you a citizen of any other country?  
      Yes ☐  No ☐
      If yes, what country? _____________________________________

3. Affiant’s occupation or profession: _____________________________________________________________

4. Affiant’s business address: _____________________________________________________________

   Business telephone: ________________                     Business Email: _____________________________________

5. Education and training:

   College/University  City/State  Dates Attended (MM/YY)  Degree Obtained
   _____________________________________________________________  _____________________________________________________________

   Graduate Studies  College/University  City/State  Dates Attended (MM/YY)  Degree Obtained
   _____________________________________________________________  _____________________________________________________________

   Other Training: Name  City/State  Dates Attended (MM/YY)  Degree/Certification Obtained
   _____________________________________________________________  _____________________________________________________________

Note: If affiant attended a foreign school, please provide full address and telephone number of the college/university. If applicable, provide the foreign student Identification Number in the space provided in the Biographical Affidavit Supplemental Information.
Applicant Company Name: _____________________________  NAIC No. __________________________

FEIN: __________________________

6. List of memberships in professional societies and associations:

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<tr>
<th>Name of Society/Association</th>
<th>Contact Name</th>
<th>Address of Society/Association</th>
<th>Telephone Number of Society/Association</th>
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7. Present or proposed position with the Applicant Company:

____________________________________________________________________________________________

8. List complete employment record for the past twenty (20) years, whether compensated or otherwise (up to and including present jobs, positions, partnerships, owner of an entity, administrator, manager, operator, directorates or officerships). Please list the most recent first. Attach additional pages if the space provided is insufficient. It is only necessary to provide telephone numbers and supervisory information for the past ten (10) years.

Beginning/Ending Dates (MM/YY): ________ - _________  Employer’s Name: _______________________________________________

Address: ____________________________ City: ________________________ State/Province: ______________________

Country: ______________  Postal Code: __________  Phone: ___________  Offices/Positions Held: ___________________

Type of Business: __________________________  Supervisor/Contact: ______________________________________

Beginning/Ending Dates (MM/YY): ________ - _________  Employer’s Name: _______________________________________________

Address: ____________________________ City: ________________________ State/Province: ______________________

Country: ______________  Postal Code: __________  Phone: ___________  Offices/Positions Held: ___________________

Type of Business: __________________________  Supervisor/Contact: ______________________________________

Beginning/Ending Dates (MM/YY): ________ - _________  Employer’s Name: _______________________________________________

Address: ____________________________ City: ________________________ State/Province: ______________________

Country: ______________  Postal Code: __________  Phone: ___________  Offices/Positions Held: ___________________

Type of Business: __________________________  Supervisor/Contact: ______________________________________

Beginning/Ending Dates (MM/YY): ________ - _________  Employer’s Name: _______________________________________________

Address: ____________________________ City: ________________________ State/Province: ______________________

Country: ______________  Postal Code: __________  Phone: ___________  Offices/Positions Held: ___________________

Type of Business: __________________________  Supervisor/Contact: ______________________________________
9. a. Have you ever been in a position which required a fidelity bond?

Yes ☐ No ☐

If any claims were made on the bond, give details:

_____________________________________________________________________________________

b. Have you ever been denied an individual or position schedule fidelity bond, or had a bond canceled or revoked?

Yes ☐ No ☐

If yes, give details:

_____________________________________________________________________________________

10. List any professional, occupational and vocational licenses (including licenses to sell securities) issued by any public or governmental licensing agency or regulatory authority or licensing authority that you presently hold or have held in the past. For any non-insurance regulatory issuer, identify and provide the name, address and telephone number of the licensing authority or regulatory body having jurisdiction over the license(s) issued. If your professional license number is your Social Security Number (SSN) or embeds your SSN or any sequence of more than five numbers that are reasonably identifiable as your SSN, then write SSN for that portion of the professional license number that is represented by your SSN. (For example, “SSN”, “12-SSN-345” or “1234-SSN” (last 6 digits)). Attach additional pages if the space provided is insufficient.

Organization/Issuer of License: __________________________ Address: __________________________

City: __________________ State/Province: _________________ Country: __________________ Postal Code: _________________

License Type: __________________ License #: __________________ Date Issued (MM/YY): __________________

Date Expired (MM/YY): __________________ Reason for Termination: __________________

Non-Insurance Regulatory Phone Number (if known): __________________

Organization/Issuer of License: __________________________ Address: __________________________

City: __________________ State/Province: _________________ Country: __________________ Postal Code: _________________

License Type: __________________ License #: __________________ Date Issued (MM/YY): __________________

Date Expired (MM/YY): __________________ Reason for Termination: __________________

Non-Insurance Regulatory Phone Number (if known): __________________

11. In responding to the following, if the record has been sealed or expunged, and the affiant has personally verified that the record was sealed or expunged, an affiant may respond “no” to the question. Have you ever:

a. Been refused an occupational, professional, or vocational license or permit by any regulatory authority, or any public administrative, or governmental licensing agency?

Yes ☐ No ☐

b. Had any occupational, professional, or vocational license or permit you hold or have held, been subject to any judicial, administrative, regulatory, or disciplinary action?
c. Been placed on probation or had a fine levied against you or your occupational, professional, or vocational license or permit in any judicial, administrative, regulatory, or disciplinary action?

Yes ☐ No ☐

d. Been charged with, or indicted for, any criminal offense(s) other than civil traffic offenses?

Yes ☐ No ☐

e. Pled guilty, or nolo contendere, or been convicted of, any criminal offense(s) other than civil traffic offenses?

Yes ☐ No ☐

f. Had adjudication of guilt withheld, had a sentence imposed or suspended, had pronouncement of a sentence suspended, or been pardoned, fined, or placed on probation, for any criminal offense(s) other than civil traffic offenses?

Yes ☐ No ☐

g. Been subject to a cease and desist letter or order, or enjoined, either temporarily or permanently, in any judicial, administrative, regulatory, or disciplinary action, from violating any federal, state law or law of another country regulating the business of insurance, securities or banking, or from carrying out any particular practice or practices in the course of the business of insurance, securities or banking?

Yes ☐ No ☐

h. Been, within the last ten (10) years, a party to any civil action involving dishonesty, breach of trust, or a financial dispute?

Yes ☐ No ☐

i. Had a finding made by the Comptroller of any state or the Federal Government that you have violated any provisions of small loan laws, banking or trust company laws, or credit union laws, or that you have violated any rule or regulation lawfully made by the Comptroller of any state or the Federal Government?

Yes ☐ No ☐

j. Had a lien or foreclosure action filed against you or any entity while you were associated with that entity?

Yes ☐ No ☐

If the response to any question above is yes, please provide details including dates, locations, disposition, etc. Attach a copy of the complaint and filed adjudication or settlement as appropriate.

12. List any entity subject to regulation by an insurance regulatory authority that you control directly or indirectly. The term “control” (including the terms “controlling,” “controlled by” and “under common control with”) means the possession, direct or indirect, of the power to direct or cause the direction of the management and policies of a person, whether through the ownership of voting securities, by contract other than a commercial contract for goods or non-management services, or otherwise, unless the power is the result of an official position with or corporate office held by the person. Control shall be presumed to exist if any person, directly or indirectly, owns, controls,
holds with the power to vote, or holds proxies representing, ten percent (10%) or more of the voting securities of any other person.

If any of the stock is pledged or hypothecated in any way, give details.

13. Do [Will] you or members of your immediate family individually or cumulatively subscribe to or own, beneficially or of record, 10% or more of the outstanding shares of stock of any entity subject to regulation by an insurance regulatory authority, or its affiliates? An “affiliate” of, or person “affiliated” with, a specific person, is a person that directly, or indirectly through one or more intermediaries, controls, or is controlled by, or is under common control with, the person specified.

Yes ☐ No ☐

If yes, please identify the company or companies in which the cumulative stock holdings represent 10% or more of the outstanding voting securities.

If any of the shares of stock are pledged or hypothecated in any way, give details.

14. Have you ever been adjudged a bankrupt?

Yes ☐ No ☐

If yes, provide details: ________________________
____________________________________________________________________________________________

15. To your knowledge has any company or entity for which you were an officer or director, trustee, investment committee member, key management employee or controlling stockholder, had any of the following events occur while you served in such capacity?

a. Been refused a permit, license, or certificate of authority by any regulatory authority, or governmental-licensing agency?

Yes ☐ No ☐

b. Had its permit, license, or certificate of authority suspended, revoked, canceled, non-renewed, or subjected to any judicial, administrative, regulatory, or disciplinary action (including rehabilitation, liquidation, receivership, conservatorship, federal bankruptcy proceeding, state insolvency, supervision or any other similar proceeding)?

Yes ☐ No ☐

c. Been placed on probation or had a fine levied against it or against its permit, license, or certificate of authority in any civil, criminal, administrative, regulatory, or disciplinary action?

Yes ☐ No ☐

d. Has the company entered into any agreement and made payment to a regulatory body in lieu of any civil, criminal, administrative, regulatory, or disciplinary action?

Yes ☐ No ☐
Applicant Company Name: _____________________________   NAIC No. __________________________

If the answer to any of the above is yes, please indicate and give details. When responding to questions (b) and (c), and (d), affiant should also include any events within twelve (12) months after his or her departure from the entity.

___________________________________________________________________________________________

___________________________________________________________________________________________

Note: If an affiant has any doubt about the accuracy of an answer, the question should be answered in the positive and an explanation provided.

Dated and signed this ______ day of _________________ 20 _____ at _______________________. I hereby certify under penalty of perjury that I am acting on my own behalf and that the foregoing statements are true and correct to the best of my knowledge and belief.

____________________________________________
(Signature of Affiant)

State of: __________________________ County of: __________________________

The foregoing instrument was acknowledged before me this ____day of ____________, 20____ by ______________________, and:

☐ who is personally known to me, or

☐ who produced the following identification: ________________________________

[SEAL]

___________________________________
Notary Public

___________________________________
Printed Notary Name

___________________________________
My Commission Expires