

Please note the application may be revised on a bi-annual basis. To ensure you are filing the current version of the application, please reference the National Insurance Producer Registry web site at www.nipr.com.



Uniform Application for Individual ~~Producer~~ License Renewal/Continuation

(Please Print or Type)

Check appropriate boxes for license requested.

- Resident License License #: _____ License Type: _____
- Non-Resident License License #: _____ License Type: _____
 - Identify Home State: _____
 - ~~Identify Home State License #: _____~~

Demographic Information

| | | | |
|---|--------------------------------|--|-------------------------------------|
| ① National Producer Number(NPN) | ② Date of Birth | ③ <u>If applicable, FINRA Individual Central Registration Depository (CRD) Number: _____</u> | |
| ④ Last Name JR./SR. etc | ⑤ First Name | ⑥ Middle Name | |
| ⑦ <u>Are you a Citizen of the United States? (Check One) <input type="checkbox"/> Yes <input type="checkbox"/> No (if No, of which country are you a citizen? _____)</u> <u>(If No, and this is an application for a Resident Renewal, you must supply proof of eligibility to work in the U.S.)</u> | | | |
| ⑧ Residence/Home Address (Physical Street) | ⑨ City | ⑩ State | ⑪ Zip or Foreign Country |
| ⑫ Individual Applicants Personal Email Address: | | ⑬ Personal Phone Number | |
| ⑭ Employer's Business Entity's Name | | | |
| ⑮ Business Address (Physical Street) | ⑯ P.O. Box | ⑰ City | ⑱ State ⑲ Zip or Foreign Country |
| ⑳ Business Phone Number (include extension) () - | ㉑ Business Fax Number () - | ㉒ Business E-Mail Address | ㉓ Business Web Site Address |
| ㉔ Mailing Address | ㉕ P.O. Box | ㉖ City | ㉗ State ㉗ Zip or Foreign Country |

Agency or Business Entity Affiliations

㉘ List your Insurance Agency Affiliations: (Complete only if the applicant is to be licensed as an active member of the business entity)

| | | |
|------------|-----------|----------------------|
| FEIN _____ | NPN _____ | Name of Agency _____ |
| FEIN _____ | NPN _____ | Name of Agency _____ |
| FEIN _____ | NPN _____ | Name of Agency _____ |

Background Questions

㉙ **NOTE:** For Questions 1a, 1b and 1c, **“Convicted”** includes, but is not limited to, having been found guilty by verdict of a judge or jury, having entered a plea of guilty or nolo contendere or no contest.

If you answer yes to any of these questions, you must attach to this application:

- a) a written statement explaining the circumstances of each incident,
- b) a copy of the charging document of each incident,
- c) a copy of the official document of each incident, which demonstrates the resolution of the charges or any final judgment.

1a. Have you **EVER** been convicted of a misdemeanor, had a judgment withheld or deferred, or are you currently charged with committing a misdemeanor, which has not been previously reported to this insurance department? Yes ___ No ___

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You may exclude the following misdemeanor convictions or pending misdemeanor charges: traffic citations, driving under the influence (DUI), driving while intoxicated (DWI), driving without a license, reckless driving, or driving with a suspended or revoked license.

You may also exclude juvenile adjudications (offenses where you were adjudicated delinquent in a juvenile court)

- 1b. Have you **EVER** been convicted of a felony, had a judgment withheld or deferred, or are you currently charged with committing a felony, which has not been previously reported to this insurance department? Yes ___ No ___

You may exclude juvenile adjudications (offenses where you were adjudicated delinquent in a juvenile court)

If you have a felony conviction involving dishonesty or breach of trust, have you applied for written consent to engage in the business of insurance in your home state as required by 18 USC 1033? (Note: For detailed information related to the requirements of 18 USC 1033 as it pertains to insurance licensing please refer to the NAIC publication “Guidelines for State Insurance Regulators to the Violent Crime Control and Law Enforcement Act of 1994” found at https://www.naic.org/documents/prod_serv_legal_sir_op.pdf) N/A ___ Yes ___ No ___

If so, was that consent granted? (Attach copy of 1033 consent approved by home state.) N/A ___ Yes ___ No ___

- 1c. Have you **EVER** been convicted of a military offense, had a judgment withheld or deferred, or are you currently charged with committing a military offense, which has not been previously reported to this insurance department? Yes ___ No ___

~~**NOTE:** For Questions 1a, 1b and 1c, “Convicted” includes, but is not limited to, having been found guilty by verdict of a judge or jury, having entered a plea of guilty or nolo contendere or no contest, or having been given probation, a suspended sentence, or a fine.~~

~~If you answer yes to any of these questions, you must attach to this application:~~

- ~~a) — a written statement explaining the circumstances of each incident,~~
- ~~b) — a copy of the charging document,~~
- ~~c) — a copy of the official document, which demonstrates the resolution of the charges or any final judgment.~~

2. Have you EVER been named or involved as a party in an administrative proceeding, including a FINRA sanction or arbitration proceeding regarding any professional or occupational license or registration, which has not been previously reported to this insurance department? Yes ___ No ___

“Involved” means having a license or registration censured, suspended, revoked, canceled, terminated, restricted or, being assessed a fine, placed on probation, sanctioned or surrendering a license or entering into a settlement to resolve an administrative action. “Involved” also means being named as a party to an administrative or arbitration proceeding, which is related to a professional or occupational license, or registration. “Involved” also means having a license, or registration, application denied or the act of withdrawing an application to avoid a denial. INCLUDE any business so named because of your actions in your capacity as an owner, partner, officer or director, or member or manager of a Limited Liability Company or any other position that exercises management or control over the business. You may exclude EXCLUDE terminations due solely to noncompliance with continuing education requirements or failure to pay a renewal or late filing fee.

If you answer yes, you must attach to this application:

- a) a written statement identifying the type of license and explaining the circumstances of each incident,
- b) a copy of the Notice of Hearing or other document that states the charges and allegations, and
- c) a copy of the official document which demonstrates the resolution of the charges or any final judgment.

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Applicant Name: _____

Background Questions continued

3. Do you have a child support obligation in arrearage, which has not been previously reported to this insurance department? Yes ___ No ___

If you answer yes,

- a) by how many months are you in arrearage? ___ Months
 b) ~~are you the subject of a child support related subpoena/warrant?~~ Yes ___ -No ___
~~b)c) are you currently subject to and in compliance with any~~ repayment agreement? Yes ___ No ___
~~e)d) are you the subject of a child support related subpoena/warrant~~ ~~are you currently in compliance with the repayment agreement?~~ N/A ___ Yes ___ No ___

(If you answered "Yes" to 3(c), provide documentation showing proof of current payments or an approved repayment plan from the appropriate state child support.)

4. In response to a "~~y~~Yes" answer to one or more of the Background Questions for this renewal application, are you submitting, or have you previously submitted document(s) to the NAIC/NIPR Attachments Warehouse? N/A ___ Yes ___ No ___
Yes ___ No ___

NOTE: The state(s) identified on this application will receive an alert that your supporting documents are available if:

- You have previously loaded a document(s);
- You have recently submitted an application that is pending;
- You are submitting the same type of application (resident/nonresident, initial/renewal); and
- You are answering "Yes" to the same background question(s).

If you have not previously loaded your supporting documents, you may do so after you have successfully completed your application. You will be provided a link to the Attachment Warehouse instructions upon completion.

~~If you answer yes,~~

~~Will you be associating (linking) previously filed documents from the NAIC/NIPR Attachments Warehouse to this application?—~~

Note: ~~If you have previously submitted documents to the Attachments Warehouse that are intended to be filed with this renewal application, you must go to the Attachments Warehouse and associate (link) the supporting document(s) to this application based upon the particular background question number you have answered yes to on this application. You will receive information in a follow-up page at the end of the application process, providing a link to the Attachment Warehouse instructions.~~

5. Are you a member or veteran of the armed forces, or the spouse or surviving spouse of a service member or veteran? Yes ___ No ___

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Applicant's Certification and Attestation

7. The producer must read the following very carefully:

1. I hereby certify that, under penalty of perjury, all of the information submitted in this application and attachments is true and complete. I am aware that submitting false information with this application is grounds for license revocation or denial of the license and may subject me to civil or criminal penalties.
2. Unless provided otherwise by law or regulation of the jurisdiction, I hereby designate the Commissioner, Director or Superintendent of Insurance, or other appropriate party in each jurisdiction for service of process regarding all insurance matters in the respective jurisdiction and agree that service upon the Commissioner, Director or Superintendent of Insurance, or other appropriate party and validity as personal service upon myself.
3. I further certify that I grant permission to the Commissioner, Director or Superintendent of Insurance, or other appropriate party in each jurisdiction for which this application is made to appear before any government agency, current or former employer, or insurance company.
4. I further certify that, under penalty of perjury, a) I have no child-support obligation, b) I have a child-support obligation and I am currently in compliance with that obligation, or c) I have no child-support obligation and I am currently in compliance with that obligation.
5. I authorize the jurisdictions to which this application is made to give any information concerning me, as permitted by law and in the furtherance of the Commissioner's, Director's, or Superintendent's municipal agency, or any other organization and I release the jurisdictions and any person acting on behalf in the furtherance of official duties their behalf from any and all liability.
6. I acknowledge that I understand and will comply with the insurance laws and regulations of the jurisdictions to which I am applying for licensure.
- ~~7.~~ 7. I hereby certify that upon request, I will furnish the jurisdiction(s) to which I am applying, certified copies of any documents attached to this application or requested by the jurisdiction.
8. For Non-Resident License Applications, I certify that I am licensed and in good standing in my home state/resident state for the lines of authority requested from the non-resident state. I will provide a copy of my home state/resident state license to the jurisdiction(s) to which I am applying, in lieu of requiring an original Letter of Certification from the resident state.
9. I acknowledge that jurisdiction specific attachments may be required with this application. State Specific Requirements and Fees information are available at www.NIPR.com. Incomplete applications will be considered deficient.

Month/Day/Year

Original Producer Signature

Full Legal Name (Printed or Typed)