## New York State Department of Financial Sevices INSTRUCTIONS FOR PC (PROPERTY AND CASUALTY AGENT) APPLICANT

Online licensing is available to first time RESIDENT applicants applying for an INDIVIDUAL/TBA license who have taken the exam within the past two (2) years. RESIDENT applicants are to apply online by visiting our website at: <a href="www.dfs.ny.gov">www.dfs.ny.gov</a> Complete online licensing instructions are available on the Department's website. Non-resident online licensing is also available to first time non-resident applicants applying for an INDIVIDUAL license through the website of – National Insurance Producer Registry (NIPR) - http://www.licenseregistry.com

#### INDIVIDUAL/TBA LICENSE WILL BE ISSUED WITH AN EXPIRATION DATE DETERMINED BY DATE OF BIRTH:

\*\*If you were born in an even numbered year, your license will expire on your birthday in an even numbered year.

\*\*If you were born in an odd numbered year, your license will expire on your birthday in an odd numbered year.

Match the submission code numbers listed under the "\*Resident" or "\*Non-Resident" columns with the corresponding numbers on "Submission Requirement Code Chart" to determine what is needed to obtain a license

\*Resident - one who has declared New York as their Home State; Home State means the District of Columbia or any state or territory of the United States in which the applicant maintains his, her or its principal place of residence or principal place of business.

\*Non-Resident" - licensee who has declared a state OTHER than New York as their Home State. Home State is where you maintain a principal place of residence or business AND are licensed in good standing for the lines of authority being applied for in this application.

	SUBMISSION CODES		, , , , , , , , , , , , , , , , , , , ,				
CORE	DESCRIPTION	INS/LAW	DECIDENT	NON-	EVENDT FROM #4 (EVAN)	LICENCING DEDICE	FFFG
CODE	OF LICENSE	SECTION	RESIDENT	RESIDENT	EXEMPT FROM #3 (EXAM)	LICENSING PERIOD	FEES
PC	Property and	2103(b)	1,2,3,4,7	1,2,5,6,7	(1) one qualified by examination who was licensed PC	Individual/TBA – up to 2 years	See Attached
	Casualty agent				agent within last 2 years (2) one who has been	from date of issue to Date of Birth	Fee Schedule
					licensed within the last 90 days and in good standing in	Expiration** (See Note Above)	
					the declared home state for the lines of authority being		
					applied for in this application, (3) current resident BR (4)	Entities - 2 yrs-07/01 to 06/30 of	
					non-resident (5) baggage only	even years	
CODE							
1	Application. Process electronically or download from this Department's website at <a href="https://www.dfs.ny.gov">www.dfs.ny.gov</a>						
2	FEE – See Attached Fee Schedule. Full fees are charged when a license is issued for a licensing period greater than one year; half fees are charged when a license is						
	issued for a licensing period of one year or less. Make check payable to "Superintendent of Financial Services." \$20 will be charged for each check dishonored by the bank.						
	RESIDENT: Partnership, corporation, limited liability company fee is per sub-licensee. NON-RESIDENT: See attached list.						
3	Original passed score report for exam taken within 2 years unless "exempt from #3" above. Call Prometric* for examination information. A first time applicant must submit a						
	copy of his or her school certificate. (Course must be completed prior to sitting for the examination).						
4	Proof of accumulation of Continuing Education credits if such proof was required had the last license been renewed and the \$10.00 Continuing Education filing fee unless						
	applying under #3.						
5	Must be currently licensed and in compliance in your declared home state. <b>NOTE:</b> Your license information MUST be included in the National Producer Database; if not,						
	you must submit a currently dated Certification from the state you have declared as your home state and in which your principle place of business or residence is located.						
6							
7	Proof of required filing of a partnership, corporation, limited liability company, or trade name. It is recommended that applicant obtain name approval for use of the name in						
	the insurance industry from this Department before filing the name with a County Clerk office or the New York State Department of State. You may submit a list of						
	proposed names in the order of preference to New York State Department of Financial Services, Licensing Bureau, One Commerce Plaza, Albany, NY 12257 or to our e-						
	mail address, <b>licensing@dfs.ny.gov</b> Once a name is approved, licensing instructions will be provided.						
-	*Promotive Inc. NV Income to Company to Delictoration 7044 Company to Delice Nothing home MD 04000 Telephone 000 204 7447						

\*Prometric, Inc., NY Insurance Exam Registration, 7941 Corporate Drive, Nottingham, MD 21236, Telephone 800-324-7147 www.prometric.com/newyork/ins

A Company Appointment must be filed with the Superintendent of Insurance within fifteen (15) days from the date the agency contract is executed or the first insurance application (contract/policy) is submitted.

Please retain this instruction sheet for your information.

rev 3/15

# ORIGINAL/RELICENSING PROPERTY/CASUALTY AGENT & PROPERTY/CASUALTY BROKER FEES

### **DETERMINATION OF RESIDENT OR NON-RESIDENT STATUS:**

- If you declared New York State as your home state, pay the fee listed on the chart for New York.
- If you declared a home state other than New York, pay the license fee listed on the chart for the state declared as the home state and in which you are a licensed insurance producer.

### COMPUTATION OF FEE TO BE SUBMITTED WITH APPLICATION:

- The term for broker licenses is up to two years.
  - INDIVIDUALS/TBA Effective Date of Issued License to Date of Birth Expiration: If you were born in an even numbered year, your license will expire on your birthday in an even numbered year. If you were born in an odd numbered year, your license will expire on your birthday in an odd numbered year.
  - PROPERTY/CASUALTY AGENT ENTITIES July 1 to June 30 of even numbered years.
  - PROPERTY/CASUALTY <u>BROKER</u> ENTITIES November 1 to October 31 of even numbered years.
- To compute a licensing fee for an application to be issued for a period greater than one year, add the licensing fee plus any retaliatory fee indicated. To compute a licensing fee for an application to be issued for one year or less, add *one-half* (1/2) the licensing fee plus the *whole* of any retaliatory fee indicated.
- In addition, a relicensing applicant whose license expired within the last 2 years and who was required to document Continuing Education had he/she renewed the license, must also include both the required documentation of the accumulation of 15 credits of Continuing Education and a \$10.00 filing fee (per application, not per sub-licensee).

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STATE	INDIVIDUAL / PARTNERSHIP / CORPORATION / LIMITED LIABILITY COMPANY RETALIATORY FEES	INDIVIDUAL LICENSE FEES	PARTNERSHIP / CORPORATION / LIMITED LIABILITY COMPANY LICENSE FEES
Alabama	\$20	\$ 80	\$80 plus \$80 per sub-licensee
Alaska		\$200	\$400 plus \$80 per sub-licensee
Arizona		\$ 80	\$80 plus \$80 per sub-licensee
Arkansas		\$ 80	\$135 with 1 sub-licensee plus \$80 for each additional sub-licensee
California		\$144	\$144 plus \$144 per sub-licensee.
Colorado		\$ 93.50	\$93.50 per sub-licensee
Connecticut	\$25	\$ 80	\$80 plus \$80 per sub-licensee
Delaware		\$ 80	\$80 plus \$80 per sub-licensee
District of			\$100 with 1 sub-licensee plus \$100 for each
Columbia		\$100	additional sub-licensee
Florida	\$50	\$ 80	\$80 per sub-licensee
Georgia		\$100	\$100 per sub-licensee
Hawaii		\$300	\$300 up to 4 sub-licensees; \$80 for each
			additional sub-licensee
Idaho		\$ 80	\$80 plus \$80 per sub-licensee
Illinois		\$250	\$150 plus \$250 per sub-licensee
Indiana		\$ 80	\$80 plus \$80 per sub-licensee
Iowa		\$ 80	\$80 per sub-licensee
Kansas	\$30	\$ 80	\$100 per sub-licensee
Kentucky		\$ 80	\$120 plus \$120 per sub-licensee
Louisiana		\$ 80	\$80 plus \$80 per sub-licensee
Maine		\$ 85	\$85 plus \$85 per sub-licensee
Maryland		\$ 80	\$80 plus \$80 per sub-licensee
Massachusetts		\$200	\$200 per sub-licensee
Michigan	\$10	\$ 80	\$80 per sub-licensee
Minnesota		\$ 100	\$200 plus \$100 per sub-licensee
Mississippi		\$ 80	\$100 plus \$80 per sub-licensee
Missouri		\$100	\$100 plus \$100 per sub-licensee
Montana		\$200	\$200 plus \$80 per sub-licensee

STATE	INDIVIDUAL / PARTNERSHIP / CORPORATION / LIMITED LIABILITY COMPANY RETALIATORY FEES	INDIVIDUAL LICENSE FEES	PARTNERSHIP / CORPORATION / LIMITED LIABILITY COMPANY LICENSE FEES
Nebraska		\$80	\$80 per sub-licensee
Nevada		\$135	\$135 plus \$135 per sub-licensee
New Hampshire		\$210	\$210 per sub-licensee
New Jersey		\$190	\$190 plus \$80 per sub-licensee
New Mexico		\$ 80	\$80 plus \$80 per sub-licensee
New York		\$ 80	\$80 per sub-licensee
North Carolina		\$ 200	\$200 plus \$80 per sub-licensee
North Dakota		\$ 80	\$80 plus \$80 per sub-licensee
Ohio		\$ 80	\$80 per sub-licensee
Oklahoma		\$ 80	\$80 plus \$80 per sub-licensee
Oregon		\$ 80	\$80 plus \$80 per sub-licensee
Pennsylvania		\$110	\$110 plus \$80 per sub-licensee
Rhode Island		\$110	\$110 plus \$80 per sub-licensee
South Carolina		\$80	\$80 per sub-licensee
South Dakota		\$80	\$80 per sub-licensee
Tennessee		\$ 80	\$80 per sub-licensee
Texas		\$ 80	\$80 plus \$80 per sub-licensee
Utah		\$ 80	\$80 plus \$80 per sub-licensee
Vermont		\$ 80	\$80 plus \$80 per sub-licensee
Virginia		\$ 80	\$80 plus \$80 per sub-licensee
Washington	\$ 5	\$ 80	\$80 plus \$80 per sub-licensee
West Virginia		\$ 80	\$80 per sub-licensee
Wisconsin		\$135	\$135 plus \$135 per sub-licensee
Wyoming		\$150	\$150 per sub-licensee

### **CANADA**

PROVINCE	INDIVIDUAL / PARTNERSHIP / CORPORATION / LIMITED LIABILITY COMPANY RETALIATORY FEES	INDIVIDUAL LICENSE FEES	PARTNERSHIP / CORPORATION / LIMITED LIABILITY COMPANY LICENSE FEES
Alberta		\$ 150	\$ 150 plus \$150 per sub-licensee
Manitoba		\$ 340	\$ 340 per sub-licensee
Northwest			
Territories	\$10	\$ 80	\$ 80 per sub-licensee
Nova Scotia		\$ 80	\$ 225 plus \$80 per sub-licensee
	Individuals & Sub-licensees		
Ontario	must pass exam	\$ 270	\$ 270 per sub-licensee
Quebec	\$100	\$1,000	\$1,000 per sub-licensee
Saskatchewan		\$ 140	\$ 190 plus \$140 per sub-licensee
Yukon			
Territories	\$ 5	\$ 200	\$ 200 per sub-licensee

### U.S. TERRITORIES

TERRITORY	INDIVIDUAL / PARTNERSHIP / CORPORATION / LIMITED LIABILITY COMPANY RETALIATORY FEES	INDIVIDUAL LICENSE FEES	PARTNERSHIP / CORPORATION / LIMITED LIABILITY COMPANY LICENSE FEES
Puerto Rico		\$1,682.00	\$ 800 includes all sub-licensees
Virgin Islands		\$ 400	\$ 400 plus \$ 400 per sub-licensee

## INDIVIDUAL FORM ORIGINAL/RELICENSING

STATE OF NEW YORK DEPT. OF FINANCIAL SERVICES ONE COMMERCE PLAZA ALBANY, NEW YORK 12257 www.dfs.ny.gov

FOR DEPARTMENT USE ONLY			
License No.			
Ex. bylssued	App. by Exp		
☐ Original	Relicensing		
□Add a Line			

# PRODUCER APPLICATION FOR PROPERTY/CASUALTY AGENT'S LICENSE UNDER SECTION 2103(b) OF THE INSURANCE LAW

Resident								
Non-Resident								
Identify Home State Identify Home State License #	(If Home State is I	Not NV)						
1	_ (II Hollie State is i	NOT IN 1)						
Name of Applicant Last			First				M.I.*	
Social Security Number	Social Security Number If assigned, National Producer Number (NPN) Date of Birth Gen							
Trade Name (Sole Proprietorship) Read	d instructions before	entering anything in t	his space)					
c/o if any (pertaining to Principal Insurance	o Rusinoss Addross)				— т	olophon	e Number	
C/O ii ariy (pertaining to Principal insurance	e Dusilless Address)					siepriorie	e Number	
Principal Insurance Business Address: No	o. & Street (required)	P.O. Box, if any	City/Town/Village	County	State/C	ountry	Zip Code	
Residence: No. and Street (required)	Residence: No. and Street (required)  P.O. Box, if any City/Town/ Village County State/Country							
Mailing Address: (required)(Indicate if sar	Mailing Address: (required)(Indicate if same as Bus or Res) P.O. Box, if any City/Town/Village County State/Country							
Check below the lines of authority fo	r which you are ap	plying.						
PROPERTY	CASUAL	ТҮР	ERSONAL LINES		BAG	GAGE		
Are you under obligation to pay chil	d support?							
If "Yes,"							Yes or No	
(a) Are you current or less than 4 m	nonths in arrears? .							
(b) Are you paying by income exec	ution plan agreed t	o by courts or parti	ies?				Yes or No	
(c) Is the obligation the subject of p	ending court proce	eding?					Yes or No	
(d) Are you receiving public assista	-	-					Yes or No	
(1) 12 <b>)</b> 22 12 22 22 23 24 25 25 25 25 25 25 25 25 25 25 25 25 25							Yes or No	
If answer to the question regarding obliq expire 6 months from its effective date u							license will	

### If any of the following questions are answered "YES," an explanation must be attached. Other than traffic infractions: (a) Have you ever been convicted of a crime, had a judgment withheld or deferred, or are you currently charged with committing a crime?.... Yes or No "Crime" includes a misdemeanor, felony or a military offense. You may exclude misdemeanor traffic citations or convictions involving driving under the influence (DUI) or driving while intoxicated (DWI), driving without a license, reckless driving, or driving with a suspended or revoked license and juvenile offenses. "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 having been given probation, a suspended sentence or a fine. If you have a felony conviction, have you applied for a waiver as required by 18 USC 1033? N/A Yes No If so, was that waiver granted? (Attach copy of 1033 waiver approved by home state.) N/A \_\_\_\_\_ Yes \_\_\_\_ No \_\_\_\_ (b) Have you ever been named or involved as a party in an administrative proceeding regarding any professional or occupational license or registration? Yes or No "Involved" means having a license censured, suspended, revoked, canceled, terminated; or, being assessed a fine, a cease and desist order, a prohibition order, a compliance order, placed on probation or surrendering a license 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. "Involved" also means having a license 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, director, or member or manager of a limited liability company. You may EXCLUDE terminations due solely to noncompliance with continuing education requirements or failure to pay a renewal fee. (c) Has any demand been made or judgment rendered against you, or any business in which you are or were an owner, partner, officer or director, or member or manager of a limited liability company, for overdue monies by an insurer, insured or producer, or have you ever been subject to a bankruptcy proceeding? Do not include personal bankruptcies, unless they involve funds held on behalf of others..... Yes or No (d) Have you ever been notified by any jurisdiction to which you are applying of any delinquent tax obligation that is not the subject of a repayment agreement?.... Yes or No If you answer yes, identify the jurisdiction(s): (e) Are you currently a party to, or have you ever been found liable in, any lawsuit, arbitration or mediation proceeding involving allegations of fraud, misappropriation or conversion of funds, misrepresentation or breach of fiduciary duty? Yes or No Have you or any business in which you are or were an owner, partner, officer or director, or member or manager of a limited liability company, ever had an insurance agency contract or any other business relationship with an insurance company terminated for any alleged misconduct?..... Yes or No RELICENSING APPLICANTS MUST ANSWER THIS QUESTION. Since expiration of your last authority, have you transacted business in New York for the license you are applying for in this application?..... Yes or No

\*\*Attestation and Signature required on page 3

### **Applicant Certification and Attestation**

- The Applicant must read the following very carefully:
- 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 or omitting pertinent or material information in connection with this application is grounds for license revocation or denial of the license and may subject me to civil or criminal penalties.
- Where required by law, I hereby designate the Commissioner, Director or Superintendent of Financial Services, or other appropriate party in each jurisdiction for which this application is made to be my agent for service of process regarding all insurance matters in the respective jurisdiction and agree that service upon the Commissioner, Director or Superintendent of Financial Services, or other appropriate party of that jurisdiction is of the same legal force and validity as personal service upon myself.
- I further certify that I grant permission to the Commissioner, Director or Superintendent of Financial Services, or other appropriate party in each jurisdiction for which this application is made to verify information with any federal, state or local government agency, current or former employer, or insurance company.
- I further certify that, under penalty of perjury, either a) I have no child-support obligation, or b) I have a child-support obligation and I am currently in compliance with that obligation.
- ◆ I authorize the jurisdictions to give any information concerning me, as permitted by law, to any federal, state or municipal agency, or any other organization as referenced in Section 110 of the New York State Insurance Law and I release the jurisdictions and any person acting on their behalf from any and all liability of whatever nature by reason of furnishing such information.
- I acknowledge that I understand and will comply with the insurance laws and regulations of the jurisdictions to which I am applying for licensure.
- For **Non-Resident License Applicants**, I certify that I have been licensed within the last ninety (90) days and in good standing in the home state/resident state for the lines of authority requested from the non-resident state.

Dated 20	
Telephone No	Applicant Signature
E-Mail Address	
URL/Website Address	Applicant Name (Printed)

### \* \* CHILD SUPPORT NOTIFICATION \* \*

Persons four (4) months in arrears in child support or who have failed to comply with a summons, subpoena, or warrant relating to paternity or child support proceeding may be subject to suspension of their business, professional, driver, and/or recreational licenses and permits including, but not limited to, licenses pursuant to §11-0713 of the Environmental Law.

Intentional submission of false statements for the purposes of frustrating/defeating lawful enforcement of support obligations is punishable under §175.35 of the Penal Law.

### \* \* PRIVACY NOTIFICATION \* \*

Pursuant to Article 1, Section 5 of the New York State Tax Law, it is mandatory that you report your Social Security Number and/or Employer Identification Number. Your failure to respond may be reported to the Department of Taxation and Finance. These tax identification numbers are being collected to enable the Department of Taxation & Finance to identify entities which are delinquent in or have understated their tax liabilities, and may be used for any purpose authorized by the Tax Law. They will be maintained by the Director, Licensing Services Bureau, New York State Department of Financial Services, One Commerce Plaza, Albany, New York 12257. Telephone: (518) 474-6630.

The New York State Department of Financial Services will, absent your written objection, which must be attached to this application, provide these tax identification numbers to the National Association of Insurance Commissioners for inclusion in its Producer Database.