



Texas Department of Insurance

Agent and Adjuster Licensing Division: Mail Code 107-1A
P.O.Box 12069 Austin, Texas 78711-2069
512-322-3503 www.tdi.texas.gov

Reinsurance Intermediary Biographical Affidavit

In connection with the below named reinsurance intermediary, I herewith make representation and supply information about myself as hereinafter set forth. (Attach addendum or separate sheet if space hereon is insufficient to answer any question fully.)

1 NAME OF REINSURANCE INTERMEDIARY ENTITY (WITH WHICH YOU WILL BE ASSOCIATED)

2 APPLICANT'S FULL NAME (INITIALS NOT ACCEPTABLE, IF NO MIDDLE NAME, SO INDICATE)

3 APPLICANT'S MAILING ADDRESS

CITY STATE ZIP

4 SOCIAL SECURITY NUMBER (###-##-####)

Disclosure of your social security number is required by Texas Family Code § 231.302. It will be maintained as a part of your license file. If you do not have a social security number, you must file a sworn affidavit stating your name and the fact that you do not have a social security number and why no social security number is held.

5 DATE OF BIRTH (MM/DD/YYYY)

6 10-DIGIT DAYTIME PHONE NUMBER (###) ###-####

7 Excluding traffic violations and first offense DWI:

a Do you currently have any pending misdemeanor or felony charges (by indictment, information, or any other instrument) filed against you in Texas, in any other state or by the federal government?

No Yes

b Have you ever been convicted of any misdemeanor or felony offense in Texas, in any other state or by the federal government?

No Yes

c Have you ever had adjudication deferred on any misdemeanor or felony charge or offense in Texas, in any other state or by the federal government?

No Yes

d Have you ever served any period of probation for any misdemeanor or felony offense in Texas, in any other state or by the federal government?

No Yes

If you answered "Yes" to any of questions 7a-d, you must submit original certified copies of the charging document, indictment, information, or any other charging document, judgment of conviction, and/or deferred adjudication order, probation order, order terminating probation, community supervision and/or parole certificate for each and every crime or offense. If the court states they no longer have the records, please have the court provide us with a letter on their letterhead stating that fact. If you were arrested only and not prosecuted, please provide a records search from the appropriate jurisdiction indicating a final disposition. You must submit a statement describing the circumstances leading to the offense(s). You must include your age at the time(s) of the offense(s). You may provide letters of recommendations from any persons in contact with you that are aware of your criminal past.

8 Have you or has any corporation, partnership, association or firm in which you were a director, officer, shareholder, manager, member or partner, ever been the subject of an administrative or legal action filed by Texas or any other insurance department, or financial regulatory agency, or of an action filed on behalf of Texas or any other state or by the federal government based on alleged violations of state or federal insurance, securities or financial regulatory laws that you have not previously reported to the Texas Department of Insurance?

No Yes

If you answer "Yes," a license will not be issued until full details of the administrative or legal action are provided.

9 Are you indebted to any policyholder, insurance or reinsurance company, insurance agency, general agent, managing general agency, premium finance company or court appointed liquidator for premiums collected or commissions retained, or have any claims or judgments been filed against you for retaining premiums or commissions?

No  Yes

If you answer "Yes," a license will not be issued until full details of the indebtedness are provided.

10 Have you ever had an agency contract or company appointment cancelled for cause (e.g., misrepresentation, misappropriation, etc.)?

No  Yes

If you answer "Yes," a license will not be issued until full details are provided. Cancellation for cause does not include cancellations due to license expiration (nonrenewal).

11 Have you or any organization in which you have been an owner, principal officer, shareholder, or director been adjudged bankrupt or insolvent?

No  Yes

If you answer "Yes," a license will not be issued until full details of the bankruptcy or insolvency are provided.

12 Have you or any organization in which you have been an owner, principal officer, shareholder, or director ever been notified by any jurisdiction of any delinquent tax obligation that is not the subject of a repayment agreement?

No  Yes

If you answer yes, identify the jurisdiction(s): \_\_\_\_\_

13 Are you a party to, or have you ever been found liable in any lawsuit or arbitration proceeding involving allegations of fraud, misappropriation or conversion of funds, misrepresentation or breach of fiduciary duty?

No  Yes

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

(a) a written statement summarizing the details of each incident,

(b) a copy of the Petition, Complaint or other document that commenced the lawsuit or arbitration, and

(c) a copy of the official document which demonstrates the resolution of the changes or any final judgment.

**FINGERPRINTS:** Each officer, director, partner, member, and designated employee authorized to act as a reinsurance intermediary under a Reinsurance Intermediary License must provide a copy of a fingerprint receipt from MorphoTrust USA evidencing the individual has had his/her fingerprints electronically submitted to the Texas Department of Public Safety. Please see page 4 for detailed information regarding fingerprinting. The fingerprint receipt is waived for all applicants if one of the following applies.

1. The individual holds an **active** TDI license and has already submitted fingerprints to TDI or

2. The individual is a nonresident and meets this requirement by one of the following.

(a) The individual holds a current similar license in good standing in the individual's home state as reflected on the National Association of Insurance Commissioner's Producer Database or

(b) The individual provides with this affidavit criminal history records obtained from the individual's resident **state's law enforcement agency** or

(c) The individual provides with this affidavit a current Certificate of Good Standing for a reinsurance intermediary license held by the reinsurance intermediary named above from the individual's resident state's insurance department.

All nonresident individuals who do not hold a current similar license in good standing in their resident state shall, **through the law enforcement agency of the state of residence**, submit a copy of the individual's criminal history records. If the resident state will not provide a criminal history record for licensing purposes, the individual must provide either

1. a receipt of electronic fingerprints or

2. a receipt from MorphoTrust USA that confirms a fingerprint card and completed FAST Fingerprint Card Scan Authorization Form with a \$41.45 check or money order payable to MorphoTrust USA was sent to MorphoTrust USA (see page 4 for complete fingerprinting instructions).

Fingerprint Receipt from L1 or Prometric (see page 4 for complete fingerprinting instructions) is attached, or

Individual has active TDI License Number \_\_\_\_\_, and previously submitted fingerprints to TDI, or

Individual is currently licensed in the individual's resident state with a reinsurance intermediary license, or

Individual is a nonresident and has attached criminal history records from individual's resident **state's law enforcement agency**, or

the nonresident reinsurance intermediary entity named above is currently licensed with a reinsurance intermediary license in its resident state, or

I met the fingerprint requirement when the above named reinsurance intermediary submitted its application for a Texas license.

**Fingerprints provided for this application shall be used to check criminal history records of the Texas Department of Public-Safety and the Federal Bureau of Investigation in accordance with the applicable statutes.**

**Signature and Notary**

You must read, sign, and have this section notarized before submitting it to the Texas Department of Insurance.

I hereby certify that I have personally answered each of the questions herein and that the answers are true and correct to the best of my knowledge and belief. I further certify that I am aware of the provisions of the *Texas Insurance Code* and the rules and regulations promulgated by the Texas Department of Insurance which relate to the business of reinsurance and the grounds under which such license may be denied, suspended, revoked or non-renewed, and that I meet the requirements to be associated to the above reinsurance intermediary. I further acknowledge that I am subject to both disciplinary action and criminal prosecution if my application contains a false, fictitious, or fraudulent statement or entry with regard to any material fact.

I understand that fingerprints provided with this application shall be used to check criminal history records of the Texas Department of Public Safety and the Federal Bureau of Investigation in accordance with applicable statutes.

I acknowledge and understand that I have the duty to inform the Commissioner of Insurance of any disciplinary action taken against me in any other state in which I may be licensed within thirty (30) days of the happening of such disciplinary action. I further acknowledge that I have the duty to update the information contained on this form, including a change of my address, and that failure to do so may constitute grounds for revocation or suspension of my insurance authority in Texas.

\_\_\_\_\_  
SIGNATURE OF APPLICANT

\_\_\_\_\_  
FULL LEGAL NAME OF APPLICANT (PRINT OR TYPE)

The State of \_\_\_\_\_, County of \_\_\_\_\_

Before me, \_\_\_\_\_, on this day personally appeared  
(PRINTED NAME OF NOTARY PUBLIC)

\_\_\_\_\_, known to me (or proved to me  
(PRINTED FULL LEGAL NAME OF APPLICANT)

on the oath of \_\_\_\_\_ or through \_\_\_\_\_  
(PRINTED NAME OF WITNESS KNOWN TO NOTARY PUBLIC) (DESCRIPTION OF IDENTITY CARD OR OTHER DOCUMENT)

to be the person whose name is subscribed to the foregoing instrument, and acknowledged to me that (s)he executed the same for the purposes and consideration therein expressed.

Given under my hand and seal of office this \_\_\_\_\_ day of \_\_\_\_\_, A.D. \_\_\_\_\_ .

\_\_\_\_\_  
(NOTARY PUBLIC SIGNATURE)

(NOTARY SEAL)

Notary Public, State of \_\_\_\_\_

## General Information on the Reinsurance Intermediary Biographical Affidavit

### Notice About Certain Information Laws and Practices

With few exceptions, you are entitled to be informed about the information that the Texas Department of Insurance (TDI) collects about you. Under Sections 552.021 and 552.023 of the Texas Government Code, you have the right to review or receive copies of information about yourself, including private information. However, TDI may withhold information for reasons other than to protect your right to privacy. Under section 559.004 of the Texas Government Code, you are entitled to request that TDI correct information that TDI has about you that is incorrect. For more information about the procedure and costs for obtaining information from TDI or about the procedure for correcting information kept by TDI, please contact the Agency Counsel Section of TDI's Legal & Compliance Division at **(512) 475-1757** or visit TDI's Web site at [www.tdi.texas.gov](http://www.tdi.texas.gov).

Send completed biographical affidavit with the license application for the reinsurance intermediary named in number 1, or if the entity is currently licensed, send to:

### Texas Department of Insurance

Applications Section MC 107-1A

P.O.Box 12069

Austin, Texas 78711-2069

**Fingerprinting:** The fingerprint requirement is authorized in Texas Insurance Code §801.056 and amended 28 TAC §1.501 and §§1.503-1.509. The Texas Department of Insurance strongly encourages all resident applicants to utilize electronic fingerprinting. Electronic fingerprinting is fast and accurate, and in most cases will avoid potential delays in the processing of your submission.

**Electronic Fingerprinting:** The general process for electronic fingerprinting is:

**1. Print and complete the FAST Pass form from TDI's website, [www.tdi.state.tx.us/forms/form11.html](http://www.tdi.state.tx.us/forms/form11.html).** You will need information from the FAST Pass form to make your electronic fingerprint appointment.

**2. Schedule an appointment to be electronically fingerprinted.** You must schedule a fingerprint appointment by visiting [www.L1enrollment.com](http://www.L1enrollment.com) or by calling 1-888-467-2080. Pursuant to DPS requirements on the vendor, you will be photographed as part of the fingerprint process. You must pay the \$41.45 fee to the vendor in a manner that is acceptable to the vendor. All electronic fingerprint appointments must be made by DPS' vendor, L1. The vendor has 90+ Texas fingerprint locations, including the Prometric testing centers which administer the TDI agent/adjuster licensing examinations. See the FAST Pass form for complete instructions to obtain an electronic fingerprint appointment.

**3. Arrive at your scheduled appointment with your FAST Pass.** After your fingerprints and photograph are taken, the technician will give you a receipt stating that you were fingerprinted. Do not throw away the receipt. You will not get a printed fingerprint card. Your fingerprints will be sent electronically to DPS and the FBI.

**4. Attach a copy of the fingerprint receipt to your application.** A FAST Pass receipt must be attached if you are required to provide fingerprints. You must keep the original FAST Pass receipt for your records.

**Exception to Electronic Fingerprinting:** When electronic fingerprinting is not available, the following process must be followed.

**1. Print and complete the FAST Fingerprint Card Scan Authorization Form from TDI's website, [www.tdi.state.tx.us/forms/form11.html](http://www.tdi.state.tx.us/forms/form11.html).** ALL information requested on the FAST Fingerprint Card Scan Authorization Form MUST be provided. That includes sex, race, date and place of birth, home address, etc. If the required information is not provided, the fingerprint card cannot be processed.

**2. Get fingerprinted by a criminal law enforcement agency on an original APPLICANT fingerprint card that includes Texas Department of Insurance ORI TX920540Z.** ALL requested information must be provided on the fingerprint card and the card must be signed by the person fingerprinted and the official taking the fingerprints. Blank cards may be obtained from TDI by calling **512-322-3503** or e-mailing a request to **License @ tdi.state.tx.us**. All fingerprints MUST be captured by a law enforcement agency.

**3. Make check for \$41.45 payable to "MorphoTrust USA".**

**4. Mail the completed Fingerprint Card Scan Authorization Form, original fingerprint card and check to: MorphoTrust USA, 3051 Hollis Drive, Suite 310, Springfield, IL 62704**

**5. Wait for a FAST receipt from MorphoTrust USA.** The FAST receipt must be attached to the completed affidavit at the time it is mailed to the Texas Department of Insurance. The FAST receipt allows TDI to locate criminal history information on the individual.

**Fingerprints provided for this application shall be used to check criminal history records of the Texas Department of Public Safety and the Federal Bureau of Investigation, in accordance with applicable statutes.**

**TDI cannot complete processing this affidavit until it receives a criminal history report from DPS and FBI if you were required to furnish a fingerprint receipt, even if you are a non United States citizens residing outside the United States.**