

North Carolina Department of Insurance

Agent Services Division 1204 Mail Service Center Raleigh, NC 27699-1204

Phone: (919) 807-6800 Fax: (919) 715-3794

APPLICATION TO ENGAGE IN THE BUSINESS OF INSURANCE

PREFACE: Sections 1033(e)(1)(A) and (e)(2) of the Violent Crime Control and Law Enforcement Act of 1994 prohibit certain persons from engaging in the business of insurance without specific permission to do so from the Commissioner of Insurance in the State in which such persons work. Persons so prohibited are those persons who have 1) been convicted of any criminal felony involving dishonesty or breach of trust, or 2) any persons who have been convicted of a) making false material statements to any insurance regulatory official; or b) embezzling, converting, purloining, or misappropriating any moneys, funds, premiums, credits or other property of any other person or entity engaged in the business of insurance; or 3) making any false material entry in a book, report, or statement of any person or entity engaged in the business of insurance with intent to deceive any person , including state insurance regulators, about the financial condition or solvency of any person or entity engaged in the business of insurance. Any person with such convictions can only engage in the business of insurance within North Carolina with the express written permission of the Commissioner of Insurance of the State of North Carolina.

Applicant's Name:	
Address:	
Telephone:	
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Fax:	Email:

All Requested Information Should Be Provided On Separate Sheets/Attachments. All Responses To The Below Questions Should Indicate Which Of The Below Questions Said Responses Relate To.

1. Please list, state, and identify in detail any and all convictions of Applicant as noted above in the Preface, and provide all available documentation concerning said convictions.

Such requested information includes but is not limited to:

- a) the name of the crime(s) of which Applicant was convicted;
- b) the date of the convictions(s):
- c) the Court in which conviction(s) occurred;
- d) whether the crime(s) of which Applicant was convicted was a felony or misdemeanor;
- e) all facts surrounding the crime(s);
- f) a copy of the verdict/entry of judgment by the Court for each conviction;
- g) a copy of any Court ordered Order of Restitution or similar mandate by the Court which applies/applied to the Applicant;
- h) whether the Applicant was placed on probation or parole, and documents evidencing Applicant's current probation/parole status.
- 2. Please state by whom Applicant is currently employed and give the name, telephone number, and address of same. For purposes of this application, "employment" includes having an agency relationship, including those agency relationships where the agent is an independent contractor.
- 3. Please state the specific entity or person engaged in the business for whom Applicant will be working, either as an employee, agent, or independent contractor, and the position to be held with such entity or person. Provide the address and telephone number of such person or entity.
- 4. Please provide at least five (5) character references relating to Applicant's honesty, trustworthiness, and financial responsibility. Such references may be from Applicant's business associates, employer, minister, parole/probation officer, etc. Family references are discouraged.
- 5. Please provide an explanation of why Applicant should be allowed to engage in the business of insurance.

I have read my attached responses to the forgoing questions and certify that the same are true and accurate. Based upon my responses, I petition the Commissioner of Insurance of North Carolina to grant me permission to engage in the business of insurance.

Signature	Date