Uniform Application for Individual Producer License/Registration

Check appropriate boxes for license requested.

- [ ] Resident License
- [ ] Non-Resident License
  - Identifying Home State: [ ] Home State License #:
- [ ] New Application
- [ ] Additional Line of Authority

Demographic Information

1. Soc. Security Number
   - -
2. If assigned, National Producer Number (NPN)
3. If applicable, FINRA Individual Central Registration Depository (CRD) Number
4. Last Name
5. JR./SR. etc.
6. First Name
7. Middle Name
8. Date of Birth
   (month) ___ (day) ___ (year)___
9. Residence/Home Address (Physical Street)
10. City
11. State
12. Zip Code
13. Foreign Country
14. Home Phone Number
   - -
15. Gender (Circle One)
   Male [ ] Female [ ]
16. Are you a Citizen of the United States? (Check One)
   Yes [ ] No [ ]
   (If No, of which country are you a citizen?)
17. Home Phone Number
   - -
18. Individual Applicant Email Address:
19. Business Entity Name
20. Business Address (Physical Street)
21. P.O. Box
22. City
23. State
24. Zip Code
25. Foreign Country
26. Business Phone Number (include extension)
   - -
27. Business Fax Number
   - -
28. Business E-Mail Address
29. Business Web Site Address
30. Applicant’s Mailing Address
   - -
31. P.O. Box
32. City
33. State
34. Zip Code
35. Foreign Country
36. Business Entity Name
37. Business Address (Physical Street)
38. P.O. Box
39. City
40. State
41. Zip Code
42. Foreign Country

Agency or Business Entity Affiliations

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

<table>
<thead>
<tr>
<th>FEIN</th>
<th>NPN</th>
<th>Name of Agency</th>
</tr>
</thead>
<tbody>
<tr>
<td>FEIN</td>
<td>NPN</td>
<td>Name of Agency</td>
</tr>
<tr>
<td>FEIN</td>
<td>NPN</td>
<td>Name of Agency</td>
</tr>
</tbody>
</table>

Employment History

Account for all time for the past five years. Give all employment experience starting with your current employer working back five years. Include full and part-time work, self-employment, military service, unemployment and full-time education.

<table>
<thead>
<tr>
<th>Name</th>
<th>From Month</th>
<th>To Month</th>
<th>Position Held</th>
</tr>
</thead>
<tbody>
<tr>
<td>City</td>
<td>State</td>
<td>Foreign Country</td>
<td></td>
</tr>
<tr>
<td>Name</td>
<td>From Month</td>
<td>To Month</td>
<td>Position Held</td>
</tr>
<tr>
<td>City</td>
<td>State</td>
<td>Foreign Country</td>
<td></td>
</tr>
<tr>
<td>Name</td>
<td>From Month</td>
<td>To Month</td>
<td>Position Held</td>
</tr>
<tr>
<td>City</td>
<td>State</td>
<td>Foreign Country</td>
<td></td>
</tr>
<tr>
<td>Name</td>
<td>From Month</td>
<td>To Month</td>
<td>Position Held</td>
</tr>
<tr>
<td>City</td>
<td>State</td>
<td>Foreign Country</td>
<td></td>
</tr>
</tbody>
</table>

(State Use)
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/Registration**

**Applicant Name:**

<table>
<thead>
<tr>
<th>Jurisdiction and Type of License Requested</th>
</tr>
</thead>
<tbody>
<tr>
<td>Next to each jurisdiction, check the license type(s) and line(s) of authority for which you are applying.</td>
</tr>
</tbody>
</table>

**License Types:**
- A – Agent
- B – Broker
- P – Producer
- SLP – Surplus Lines Producer

**Lines of Authority:**
- V – Variable Life/Variable Annuity
- L – Life
- H – Accident & Health or Sickness
- P – Property
- C – Casualty
- PL – Personal Lines

**Limited Lines:**
- Credit
- CR – Car Rental
- CROP – Crop
- T – Travel
- S – Surety
- O – Other: Specify Type

<table>
<thead>
<tr>
<th>Jurisdiction</th>
<th>License Type</th>
<th>Major Lines of Authority</th>
<th>Limited Lines of Authority</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>A</td>
<td>B</td>
<td>P</td>
</tr>
<tr>
<td>AK</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>AL</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>AR</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>AZ</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>CA</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>CO</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>CT</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>DC</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>DE</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>FL</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>GA</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>GU</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>HI</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>IA</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>ID</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>IL</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>IN</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>KS</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>KY</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>LA</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>MA</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>MD</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>ME</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>MI</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>MN</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>MO</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>MS</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>MT</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>NC</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>ND</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>NE</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>NH</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>NJ</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>NM</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>NV</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>NY</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>OH</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>OK</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>OR</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>PA</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>PR</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>RI</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>SC</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>SD</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>TN</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>TX</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>UT</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>VI</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>VA</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>VT</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>WA</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>WI</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>WV</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>WY</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Background Questions

The Applicant must read the following very carefully and answer every question. All written statements submitted by the Applicant must include an original signature.

1a. Have you ever been convicted of a misdemeanor, had a judgment withheld or deferred, or are you currently charged with committing a misdemeanor?  
   
   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?  
   
   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?  
   
   If so, was consent granted? (Attach copy of 1033 consent approved by home state.)

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?  

   **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 FINRA sanction or arbitration proceeding regarding any professional or occupational license or registration?  
   
   “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, sanctioned 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, 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. You may EXCLUDE terminations due solely to noncompliance with continuing education requirements or failure to pay a renewal 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.

3. 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.

   If you answer yes, submit a statement summarizing the details of the indebtedness and arrangements for repayment, and/or type and location of bankruptcy.

4. Have you been notified by any jurisdiction to which you are applying of any delinquent tax obligation that is not the subject of a repayment agreement?  
   
   If you answer yes, identify the jurisdiction(s):

5. 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?  

© 2014 National Association of Insurance Commissioners
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 Insurance Producer License/Registration

Applicant Name: _____________________________________________

If you answer yes, you must attach to this application:
   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, or mediation proceedings, and  
   c) a copy of the official documents, which demonstrates the resolution of the charges or any final judgment.

6. 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? 

   If you answer yes, you must attach to this application: 
   a) a written statement summarizing the details of each incident and explaining why you feel this incident should not prevent you from receiving an insurance license, and  
   b) copies of all relevant documents.

7. Do you have a child support obligation in arrearage? 

   If you answer yes, 
   a) by how many months are you in arrearage?  
   b) are you currently subject to and in compliance with any repayment agreement?  
   c) are you the subject of a child support related subpoena/warrant? 
      (If you answered yes, provide documentation showing proof of current payments or an approved repayment plan from the appropriate state child support agency.)

8. In response to a “yes” answer to one or more of the Background Questions for this application, are you submitting document(s) to the NAIC/NIPR Attachments Warehouse?

   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 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.

   Yes ☐   No ☐

   Yes ☐   No ☐

   Yes ☐   No ☐

   Yes ☐   No ☐

   Yes ☐   No ☐

   Yes ☐   No ☐

   Yes ☐   No ☐

   Yes ☐   No ☐

   Yes ☐   No ☐

   Yes ☐   No ☐

   Yes ☐   No ☐
Uniform Application for
Individual Insurance Producer License/Registration

Applicant’s Certification and Attestation

The Applicant 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 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.

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 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 Insurance, or other appropriate party of that jurisdiction is of the same legal force 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 verify information with any federal, state or local 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 identified my child support obligation arrearage on this application.

5. I authorize the jurisdictions to which this application is made to give any information concerning me, as permitted by law, to any federal, state or municipal agency, or any other organization 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.

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. 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.

8. 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(s).

Month/Day/Year

Original Applicant Signature

Full Legal Name (Printed or Typed)

Attachments

The following attachments must accompany the application otherwise the application may be returned unprocessed or considered deficient.

1. For Non-Resident License Applications and unless otherwise noted in the State Matrix of Business Rules, a state will rely on an electronic verification of an Applicant’s resident license through the NAIC’s State Producer Licensing Database in lieu of requiring an original Letter of Certification from the resident state.

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.

**State of WEST VIRGINIA**

**RESIDENT INDIVIDUAL LICENSE CHECKLIST**

**Specific Questions? Please contact:**
Agents Licensing & Education (304 558-0610); OICAgentLicensing@wv.gov

Electronic applications are accepted at www.NIPR.com.

**Paper Application:** Complete & sign the NAIC Uniform Application for Individual License.

**Fee:** The licensing fee is $50.00 except for the Surplus Lines fee of $200. Payable by check (personal or business) or money order to the West Virginia Offices of the Insurance Commissioner.

**Attachments:**
If applicable, Letter of Clearance. Pre-Licensing Course Completion Certification and Original PearsonVue Score Report(s) are no longer required but may be provided with the application for faster processing.

**Letter of Clearance:**
If moving to West Virginia from another state where a resident license was held, you must apply within 90 days of the date the license in the previous state was cancelled to be exempt from being required to complete pre-licensing education and testing. Reciprocity is only allowed for those lines of authority held in the previous home state.

**Fingerprint Requirements:** All individuals applying for an initial resident insurance license, adding a line of authority or relocating to WV with a Letter of Clearance are required to be fingerprinted. You may register online at www.identogo.com or by telephone at (855)766-7746. For additional information regarding the fingerprint process, please visit www.wvinsurance.gov, Agent Licensing, Fingerprint Requirements.

**Sign application and mail with fee and any additional required items to:**

<table>
<thead>
<tr>
<th><strong>REGULAR MAIL:</strong></th>
<th><strong>OVERNIGHT ADDRESS:</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>WV Offices of the Insurance Commissioner</td>
<td>WV Offices of the Insurance Commissioner</td>
</tr>
<tr>
<td>Agents Licensing &amp; Education</td>
<td>Agents Licensing &amp; Education</td>
</tr>
<tr>
<td>PO Box 50541</td>
<td>900 Pennsylvania Ave., 7th Fl</td>
</tr>
<tr>
<td>Charleston WV 25305-0541</td>
<td>Charleston WV 25302</td>
</tr>
</tbody>
</table>

**Appointment Requirements:** No initial appointment is required with the application for license. Appointments must be submitted by insurance companies (electronically thru NIPR or, if paper, form WVAT located at www.wvinsurance.gov under Agent Licensing, Forms) within fifteen days from the date the agency contract is executed or the first insurance application is submitted.

**Producer Renewal Information:** Producer licenses are effective for a minimum of two (2) years. Licenses expire on the last day of the producer's birth month. The expiration date will be listed on your producer license. Renewal notices will be mailed to producers prior to the expiration date.

**Surplus Lines Renewal Information:** Surplus licenses expire May 31st, ANNUALLY.

**Notification of Licensure:** Licensees do not receive notification of licensure. At the homepage of the website (www.wvinsurance.gov) scroll down to SBS links and select licensee lookup. After entering in the name in the search criteria, if licensure has been granted the name will appear with a national producer number. To print out the license select SBS Connect License print from the SBS Links box and enter in the identifying information.

Questions: Contact the Agents Licensing & Education at (304) 558-0610.
Access West Virginia Code at http://www.legis.state.wv.us

© 2014 National Association of Insurance Commissioners   Page 6 of 6
PRIVACY ACT STATEMENT

Authority: The FBI’s acquisition, preservation, and exchange of fingerprints and associated information is generally authorized under 28 U.S.C. 534. Depending on the nature of your application, supplemental authorities include Federal statutes, State statutes pursuant to Pub. L. 92-544, Presidential Executive Orders, and federal. Providing your fingerprints and associated information is voluntary; however, failure to do so may affect completion or approval of your application.

Social Security Account Number (SSAN). Your SSAN is needed to keep records accurate because other people may have the same name and birth date. Pursuant to the Federal Privacy Act of 1974 (5 USC 552a), the requesting agency is responsible for informing you whether disclosure is mandatory or voluntary, by what statutory or other authority your SSAN is solicited, and what uses will be made of it. Executive Order 9397 also asks Federal agencies to use this number to help identify individuals in agency records.

Principal Purpose: Certain determinations, such as employment, licensing, and security clearances, may be predicated on fingerprint-based background checks. Your fingerprints and associated information/biometrics may be provided to the employing, investigating, or otherwise responsible agency, and/or the FBI for the purpose of comparing your fingerprints to other fingerprints in the FBI’s Next Generation Identification (NGI) system or its successor systems (including civil, criminal, and latent fingerprint repositories) or other available records of the employing, investigating, or otherwise responsible agency. The FBI may retain your fingerprints and associated information/biometrics in NGI after the completion of this application and, while retained, your fingerprints may continue to be compared against other fingerprints submitted to or retained by NGI.

Routine Uses: During the processing of this application and for as long thereafter as your fingerprints and associated information/biometrics are retained in NGI, your information may be disclosed pursuant to your consent, and may be disclosed without your consent as permitted by the Privacy Act of 1974 and all applicable Routine Uses as may be published at any time in the Federal Register, including the Routine Uses for the NGI system and the FBI’s Blanket Routine Uses. Routine uses include, but are not limited to, disclosures to: employing, governmental or authorized non-governmental agencies responsible for employment, contracting licensing, security clearances, and other suitability determinations; local, state, tribal, or federal law enforcement agencies; criminal justice agencies; and agencies responsible for national security or public safety.

Additional Information: The requesting agency and/or the agency conducting the application-investigation will provide you additional information pertinent to the specific circumstances of this application, which may include identification of other authorities, purposes, uses, and consequences of not providing requested information. In addition, any such agency in the Federal Executive Branch has also published notice in the Federal Register describing any systems(s) of records in which that agency may also maintain your records, including the authorities, purposes, and routine uses for the system(s).