

Termination for Cause Submission Checklist

Insurance companies operating in Wisconsin must report **all agent terminations** as required by Wis. Stat. § 628.11. Terminations must be submitted electronically via nopr.com or an NIPR-authorized business partner.

For terminations for cause*, insurers must submit supporting documentation within 30 days, per Wis. Stat. § 628.11 and Wis. Admin. Code § Ins 6.57(2). This documentation does not need to prove a violation but must outline potential violations.

Materials and inquiries should be submitted to OCITFCDocumentation@wisconsin.gov.

Failure to provide the required documentation may result in a forfeiture demand under Wis. Stat. § 601.42.

Within 30 days of termination, provide:

	A detailed explanation of the termination reason
	The Company's entire investigative file (including SIU investigative files) and documentation supporting the Company's termination
	The name and contact information for the person who handled the investigation
	A written, signed agent's statement
	The type of insurance involved and what prompted the company to start the investigation
	Copies of all correspondence from insureds or others expressing concern about the agent such as letters, e-mails, memos, complaints, etc.
	Whether the termination for cause involved a violation of company policy, a violation of Wisconsin insurance law, and/or a violation of other civil or criminal law
	The identities of all Wisconsin residents who raised concerns or had issues with the agent including name, address, phone number, and e-mail address, if applicable
	The identities of any witnesses to the behavior including name, address, phone number, and e-mail address, if applicable
	A copy of the termination of appointment notice that was sent to the agent
	The effective date of the termination for cause

	If disclosure was required, and the company disclosure was not submitted to OCI within 30 days, an explanation of compliance with s. Ins 6.57 (2) Wis. Adm. Code
	If disclosure was made and the termination reason or the termination dates do not match what is displayed in SBS, an explanation for the discrepancy
	A copy of all Wisconsin insured applications involving these allegations (if applicable)

* Terminations requiring for-cause notification are defined in Wis. Admin. Code §§ Ins 6.59(5)(d) and Ins 6.57(2)(b). For more information, visit [OCI Initial Agent Appointments \(wi.gov\)](https://www.wisconsin.gov/oci/initial-agent-appointments).