

RESIDENT/NONRESIDENT MANAGING GENERAL AGENT LICENSE APPLICATION

Ref: Section 628.04, Wis. Stat., and Chapter Ins 42 and s. Ins 6.59, Wis. Adm. Code

Pursuant to s. 601.72, Wis. Stats. Personal information you provide may be used for purposes other than that for which it was originally collected (s. 15.04(1)(m), Wis. Stats.)

Check appropriate box for lic Resident License	·		oma Oksta I.					
Nonresident License	Identify H	ome StateHo	ome State Lice	ense #				
INSTRUCTIONS: Print or typesioner of Insurance to the about icense. Personally identifiable must hold a current resider	ove address e informatio	. This form is require n on this form will be	d under s. 628 matched with	i.04, Wis. Stat. information from	Refusal to properties to the start of the st	provide this	s information	on will result in denial of
Last Name and Suffix (Sr., J	r.)	First Name	Middle	Name	Date of	Birth (Mo./l	Day/Yr.)	Social Security Number
Residence/Home Address								ı
City				State		Zip Co	ode	
Mailing Address				ı		РО Во	ΟX	
City				State	ate Zip Code			
List any other assumed, ficti	tious, alias, d	or trade name under	which you are	doing business	s or intend	to do busin	iess	
Business Address								
City				State		Zip Co	ode	
Home Telephone Number	Business	Telephone Number	''	-mail Address			ess E-mail	Address
Are you a citizen of the US?	(check one)	Yes	INO	o, of which coul o, proof of eligib	-			<u></u> .
Account for all time for the and part-time work, self-em			nent experienc			t employer	working ba	ack five years. Include full-
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Namo				Month	Year	Month	Year	Position Held
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	Background Questions		
	e Applicant must read the following very carefully and answer every question. All written statements submitted by the App lude an original signature.	licant m	ıust
1a.	Have you ever been convicted of a misdemeanor, had a judgment withheld or deferred, or are you currently charged with committing a misdemeanor?	Yes	No
	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).	Voc	No
	Have you ever been convicted of a felony, had a judgment withheld or deferred, or are you currently charged with committing a felony?	Yes	No
	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? N/A Yes NO		
	If so, was consent granted? (Attach copy of 1033 consent approved by home state.) N/A Yes No	Yes	No
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?		
	TE: For Questions 1a., 1b. and 1c., "Convicted" includes, but is not limited to, having been found guilty by verdict of a judge or , 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 a) b) c)	ou answer yes to any of these questions, you must attach to this application: a written statement explaining the circumstances of each incident, a copy of the charging document, and 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?	Yes	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, 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. 	Voc	No
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.	Yes	No
	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 for any delinquent tax obligation that is not the subject of a repayment agreement?	Yes	No
	If you answer yes, identify the jurisdiction(s):		NI.
5.	Are you currently a party to, or have you ever been found liable in, any lawsuit, arbitrations or mediation proceeding involving allegations of fraud, misappropriation or conversion of funds, misrepresentation or breach of fiduciary duty?	Yes	No
	 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 document, which demonstrates the resolution of the charges or any final judgment. 		

	Background Questions (continued)		
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?	Yes	No
	 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?	Yes	No
	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 Information questions for this application, are you submitting document(s) to the NAIC/NIPR Attachments Warehouse?	N/A Yes	No
	If you answer yes,		
	Will you be associating (linking) previously filed documents from the NAIC/NIPR Attachments Warehouse to this application?	Yes	No
	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.		
	Applicant's Certification and Attestation		
Th	ne 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 that submitting false information or omitting pertinent or material information in connection with this application is grounds for license 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 for which this application is magent for service of process regarding all insurance matters in the respective jurisdiction and agree that service upon the commission same legal force and validity as personal service upon myself.		
3.	I further certify that I grant permission to the Commissioner for which this application is made to verify information with any federal, stagovernment agency, current or former employer, or insurance company.	ate or local	
	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 a in compliance with that obligation, or c) I have identified my child-support obligation arrearage on this application.		
5.	I authorize the jurisdictions to give any information concerning me, as permitted by law, to any federal, state or municipal agency, or ganization and I release the jurisdictions and any person acting on their behalf from any and all liability of whatever nature by reason 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	r licensure.	
7.	For Nonresident License Applications,I certify that I am licensed and in good standing in my home state/resident state for the lines of requested from the nonresident state.	authority	
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 tion or requested by the jurisdictions.	this applica	a-
	Marsh ID av IV a ar		
	Month/Day/Year		
	Original Applicant Signature		_
	Full Legal Name (Printed or Typed)		



RESIDENT/NONRESIDENT MANAGING GENERAL AGENT LICENSE APPLICATION

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Check appropriate box for lice	ense request	ed:									
Resident License Nonresident License	Identify Ho	me Si	tateHon	ne State Lic	anca t	<i>‡</i>					
Nonresident License	identity i id	ille o	lateiion	ne State Lic	,C113C +						
NSTRUCTIONS: Print or typ sioner of Insurance to the abo icense. Personally identifiable must hold a current residen	ove address. e information	This f	orm is required is form will be m	under s. 62 natched with	8.04, \ h infori	<i>N</i> is. Stat. R nation from	Refusal to բ i other stat	provide this	s information	on will result in denial of	
Last Name and Suffix (Sr., J	r.)	First I	Name	Middl	e Nam	е	Date of E	3irth (Mo./l	Day/Yr.)	Social Security Number	
Residence/Home Address	<u> </u>										
City					Stat	e		Zip Co	ode		
Mailing Address								РО Во	ΟX		
City				Stat	ate			Zip Code			
List any other assumed, fictit	ious, alias, c	r trad	e name under w	hich you ar	e doin	g business	or intend t	to do busir	iess		
Business Address											
City					Stat	е		Zip Co	ode		
Home Telephone Number	Business	Telepl	none Number	Applicant E					ess E-mail	Address	
Are you a citizen of the US?	(check one)		Yes	INO		of which country are you a citizen? proof of eligibility to work in the US is required.					
				Employ	ment	History					
Account for all time for the and part-time work, self-em				ent experien	ice sta	rting with yo		t employer	working b	ack five years. Include full-	
						Fron	m	Т	о		
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1a. Have you ever been convicted of a misdemeanor, had a judgment withheld or deferred, or are you currently charged with committing a misdemeanor?	Yes	No
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You may also exclude juvenile adjudications (offenses where you were adjudicated delinquent in a juvenile court).	Voo	No
1b. Have you ever been convicted of a felony, had a judgment withheld or deferred, or are you currently charged with committing a felony?	Yes	No
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? N/A \(\subseteq \text{ Yes} \(\subseteq \) No \(\subseteq \)		
If so, was consent granted? (Attach copy of 1033 consent approved by home state.) N/A Yes No	Yes	No
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?		
<u>NOTE</u> : 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: d) a written statement explaining the circumstances of each incident, e) a copy of the charging document, and f) a copy of the official document, which demonstrates the resolution of the charges or any final judgment.		
9. 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?	Yes	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, 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.		
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10. 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.		
11. Have you been notified by any jurisdiction for any delinquent tax obligation that is not the subject of a repayment agreement?	Yes	No
If you answer yes, identify the jurisdiction(s):	./	Ma
12. Are you currently a party to, or have you ever been found liable in, any lawsuit, arbitrations or mediation proceeding involving allegations of fraud, misappropriation or conversion of funds, misrepresentation or breach of fiduciary duty?	Yes	No
 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 document, which demonstrates the resolution of the charges or any final judgment. 		

		Background Questions (continued)		
13.	company,	or any business in which you are or were an owner, partner, officer or director, or member or manager of a limited liability ever had an insurance agency contract or any other business relationship with an insurance company terminated for any isconduct?	Yes	No
	a)	answer yes, you must attach to this application: 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 copies of all relevant documents.		
14.	. Do you ha	ave a child support obligation in arrearage?	Yes	No
	If you	answer Yes:		
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	c)			
		you answered yes, provide documentation showing proof of current payments or an approved repayment an from the appropriate state child support agency.		
15.		se to a "yes" answer to one or more of the Background Information questions for this application, are you submitting t(s) to the NAIC/NIPR Attachments Warehouse?	N/A Yes	No
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	Will yo	ou be associating (linking) previously filed documents from the NAIC/NIPR Attachments Warehouse to this ation?	Yes	No
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		Applicant's Certification and Attestation		
Th	e Applicant	Applicant's Certification and Attestation must read the following very carefully:		
	I hereby c			
9.	I hereby contract that submit denial of the Unless program agent for s	must read the following very carefully: ertify that, under penalty of perjury, all of the information submitted in this application and attachments is true and complet itting false information or omitting pertinent or material information in connection with this application is grounds for license	revocation	or
9. 10.	I hereby of that submit denial of the Unless pro- agent for s same legal I further ce	ertify that, under penalty of perjury, all of the information submitted in this application and attachments is true and complet itting false information or omitting pertinent or material information in connection with this application is grounds for license he license and may subject me to civil or criminal penalties. Devided otherwise by law or regulation of the jurisdiction, I hereby designate the Commissioner for which this application is moservice of process regarding all insurance matters in the respective jurisdiction and agree that service upon the commissioner.	revocation nade to be in	or my
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