



## Hawaii Application for Business Entity Insurance License/Registration (Please Print or Type)

Check appropriate box for license requested.

- Resident License
- Non-Resident License - (Not applicable to a Limited Lines Self-Service Storage Producer license applicants.)

Identify Home State: \_\_\_\_\_

Identify Home State License #: \_\_\_\_\_

Demographic Information						
Business Entity Name			Incorporation/Formation Date		FEIN	
If assigned National Producer Number (NP#)				If applicable, FINRA Firm Central Registration Depository (CRD)		
State of Domicile		Country of Domicile		Is this business associated with a financial institution/bank? <input type="checkbox"/> Yes <input type="checkbox"/> No		
Business Address (Physical Street)			City	State	Zip Code	Foreign Country
Business Phone (include extension)		Business Fax	Business Web Address		Business E-Mail Address	
Applicant's Mailing Address			P.O. Box	City	State	Zip Code Foreign Country
Designated/Responsible Licensed Producer						
Identify at least one Designated/Responsible Licensed Producer responsible for the business entity's compliance with the insurance laws, rules and regulations of this state: (Does <b>NOT</b> apply to Limited Lines <b>Portable Electronic and Self-Service Storage Applicants</b> ) (Attach additional sheet if necessary.)						
Name	_____		SSN	_____		
Name	_____		SSN	_____		
Name	_____		SSN	_____		
Name	_____		SSN	_____		
Name	_____		SSN	_____		
Designated/Responsible Person for Portable Electronic and Self-Service Storage Applicants ONLY						
The Designated/Responsible Person must be an employee or officer of the business entity or supervising entity for a self-service storage and responsible for the business entity's compliance with the insurance laws, rules and regulations of this state.						
Name and Title _____						
Resident Address _____						
Phone Number _____ E-Mail Address _____						
Owners, Partners, Officers and Directors						
Identify all owners with 10% interest or voting interest, partners, officers and directors of the business entity, or members of managers of a limited liability company: (Attach additional sheet if necessary)						
Name	Title	SSN/FEIN	D.O.B.	Owner		% of ownership interest
				<input type="checkbox"/> Yes	<input type="checkbox"/> No	
				<input type="checkbox"/> Yes	<input type="checkbox"/> No	
				<input type="checkbox"/> Yes	<input type="checkbox"/> No	
				<input type="checkbox"/> Yes	<input type="checkbox"/> No	
				<input type="checkbox"/> Yes	<input type="checkbox"/> No	
DO NOT WRITE IN THIS BOX – For State Use Only						
Entity ID: _____			130	\$	_____	
License #: _____			108	\$	_____	
Effective Date: _____		PDB	_____ \$ _____			
Exp. Date: _____		Log	_____ \$ _____			

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Type of License Requested	
Check the license type and line(s) of authority for which you are applying.	
License Types (check <u>one</u> only):	Lines of Authority
<input type="checkbox"/> Producer  <input type="checkbox"/> Managing General Agent  <input type="checkbox"/> Reinsurance Intermediary Broker  <input type="checkbox"/> Reinsurance Intermediary Manager  <input type="checkbox"/> Surplus Lines Broker	<input type="checkbox"/> Accident and Health or Sickness <input type="checkbox"/> Life <input type="checkbox"/> Variable Life and Variable Annuity – attach copy of CRD report showing that you registered for securities in Hawaii with FINRA <input type="checkbox"/> Casualty <input type="checkbox"/> Property <input type="checkbox"/> Surety Only <input type="checkbox"/> Personal Lines Only <input type="checkbox"/> Title
<input type="checkbox"/> Limited Lines Motor Vehicle Rental Company Producer	<input type="checkbox"/> Emergency Sickness; Incidental Travel; Inland Marine Personal Effects: Liability; Personal Accident; Roadside Assistance; Underinsured Motorist; Uninsured Motorist and Vehicle Related Coverage
<input type="checkbox"/> Limited Lines Broker	<input type="checkbox"/> Travel Disability <input type="checkbox"/> Travel Baggage <input type="checkbox"/> Vending Machine – Travel Baggage <input type="checkbox"/> Vending Machine – Travel Disability <input type="checkbox"/> Newspaper Accident & Sickness <input type="checkbox"/> Credit Life <input type="checkbox"/> Credit Disability <input type="checkbox"/> Credit Casualty <input type="checkbox"/> Credit Involuntary Unemployment <input type="checkbox"/> Credit Property <input type="checkbox"/> Credit Unemployment <input type="checkbox"/> Mortgage Life <input type="checkbox"/> Mortgage Guaranty <input type="checkbox"/> Mortgage Disability <input type="checkbox"/> Guaranteed Automobile Protection (GAP)
<input type="checkbox"/> Limited Lines Portable Electronics Producer	<input type="checkbox"/> Portable Electronics
<input type="checkbox"/> Limited Lines Self-Service Storage Producer	<input type="checkbox"/> Self-Service Storage

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### Background Information

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

- 1a. Has the business entity or any owner, partner, officer or director of the business entity, or member or manager of a limited liability company ever been convicted of a misdemeanor, had a judgment withheld or deferred or is the business entity or any owner, partner, officer or director of the business entity, or member or manager of a limited liability company 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) or 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 juvenile court).

- 1b. Has the business entity or any owner, partner, officer or director of the business entity, or member or manager of a limited liability company ever been convicted of a felony, had judgment withheld or deferred, or is the business entity or any owner, partner, officer or director of the business entity or member or manager of a limited liability company currently charged with committing a felony?  Yes  No

You may also exclude juvenile adjudications (offenses where you were adjudicated delinquent in 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

- 1c. Has the business entity or any owner, partner, officer or director of the business entity, or member or manager of a limited liability company ever been convicted of a military offense, had a judgment withheld or deferred, or is the business entity or any owner, partner, officer or director of the business entity, or member or manager of a limited liability company currently charged with committing a military offense?  Yes  No

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 identifying all parties involved (including their percentage of ownership, if any) 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. Has the business entity or any owner, partner, officer or director of the business entity, or member or manager of a limited liability company ever been named or involved as a party in an administrative proceeding, including a 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 of an administrative or arbitration proceeding, which is related to a professional or occupational license or registration. "Involved" also means having a license application denied or the act of withdrawing an application to avoid a denial. You may EXCLUDE terminations due solely to noncompliance with continuing education requirements or failure to pay a renewal fee.

If you answer yes to any of these questions, you must attach to this application:

- a) a written statement identifying the type of license, all parties involved (including their percentage of ownership, if any) and an explanation of the circumstances of each incident,
- b) a copy of the Notice of Hearing or other document that states the charges and allegations,
- 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 the business entity or any owner, partner, officer or director of the business entity, 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? Only include bankruptcies that 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.

4. Has the business entity or any owner, partner, officer or director of the business entity, or member or manager of a limited liability company ever been notified by any jurisdiction to which you are applying of any delinquent tax obligation that is not the subject of a repayment agreement?  Yes  No

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

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5. Is the business entity or any owner, partner, officer or director of the business entity, or member or manager of a limited liability company, a party to, or 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?  Yes  No

If you answer yes to any of these questions, 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 arbitrations, or mediation proceedings,
- c) a copy of the official document which demonstrates the resolution of the charges or any final judgment.

6. Has the business entity or any owner, partner, officer or director of the business entity, 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 to any of these questions, 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,
- b) copies of all relevant documents.

7. 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?  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 the 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.

## Hawaii Application for Business Entity Insurance License/Registration

### Applicant's Certification and Attestation

On behalf of the business entity or limited liability company, the undersigned owner, partner, officer or director of the business entity, or member or manager of a limited liability company, hereby certifies, under penalty of perjury, that:

1. 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 or registration revocation or denial of the license and may subject me and the business entity or limited liability company to civil or criminal penalties.
2. Unless provided otherwise by law or regulation of the jurisdiction, the business entity or limited liability company hereby designates the Commissioner, Director or Superintendent of Insurance, or an appropriate representative in each jurisdiction for which this application is made to be its agent for service of process regarding all insurance matters in the respective jurisdiction and agree that service upon the Commissioner or Director of that jurisdiction is of the same legal force and validity as personal service upon the business entity.
3. The business entity or limited liability company grants permission to the Commissioner or Director of Insurance in each jurisdiction for which this application is made to verify any information supplied with any federal, state or local government agency, current or former employer, or insurance company.
4. Every owner, partner, officer or director of the business entity, or member or manager of a limited liability company, either a) does not have a current child-support obligation, or b) has a child-support obligation and is currently in compliance with that obligation.
5. I authorize the jurisdictions to which this application is made to give any information they may have 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 comply with the insurance laws and regulations of the jurisdictions to which I am applying for licensure/registration.
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).
9. I certify that the Designated Responsible Person or Licensed Producer(s) named on this application understands that he/she is responsible for the business entity's compliance with the insurance laws, rules and regulations of the State.

**Must be signed by an officer, director, or partner of the business entity, or member of manager if a limited liability company:**

\_\_\_\_\_  
Original Applicant Signature

\_\_\_\_\_  
Full Legal Name (Printed or Typed)

\_\_\_\_\_  
Date Signed – Month/Day/Year

\_\_\_\_\_  
Title

\_\_\_\_\_  
Address

\_\_\_\_\_  
City

\_\_\_\_\_  
State

\_\_\_\_\_  
Zip Code

### Attachments

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

1. Licensing fee. Payable to DEPARTMENT OF COMMERCE AND CONSUMER AFFAIRS.
2. Surplus Lines Broker Applicants ONLY – A list of licensed surplus lines brokers (name and license number) within the business entity.

### INCOMPLETE APPLICATIONS WILL BE REJECTED AND RETURNED

Mail this application with applicable forms and documents to:

ATTN: Licensing Branch  
Hawaii Insurance Division  
335 Merchant Street – Room 213  
Honolulu, Hawaii 96813