

NEW YORK STATE
DEPARTMENT OF FINANCIAL SERVICES
LICENSING BUREAU
ONE COMMERCE PLAZA
ALBANY, NEW YORK 12257
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APPLICATION FOR WRITTEN CONSENT
TO ENGAGE IN THE BUSINESS OF INSURANCE
PURSUANT TO 18 U.S.C. §§ 1033 AND 1034

Notice to Applicant: 18 U.S.C. § 1033 prohibits certain activities by or affecting persons engaged, or proposing to become engaged, in the business of insurance:

- (e)(1)(A) Any individual who has been convicted of any criminal felony involving dishonesty or a breach of trust, or who has been convicted of an offense under this section, and who willfully engages in the business of insurance whose activities affect interstate commerce or participates in such business, shall be fined as provided in this title or imprisoned not more than 5 years, or both.
- (B) Any individual who is engaged in the business of insurance whose activities affect interstate commerce and who willfully permits the participation described in subparagraph (A) shall be fined as provided in this title or imprisoned not more than 5 years, or both.
- (e)(2) A person described in paragraph (1)(A) may engage in the business of insurance or participate in such business if such person has the written consent of any regulatory official authorized to regulate the insurer, which consent specifically refers to this section.

This Application will be reviewed by the Superintendent of Financial Services to determine whether the Applicant should be given written consent to engage in the business of insurance or participate in the business pursuant to 18 U.S.C. § 1033(e)(2).

You must answer every question on the Application. If a question does not apply, indicate N/A in the space provided for the answer. Your answers are not limited to the space provided on the Application. Attach additional pages as needed. The Department of Financial Services will not process incomplete Applications. Additional information may be requested.

SECTION III - PRESENT/PROPOSED INSURANCE EMPLOYMENT

- 1. Please specify the name and address of your current or proposed employer to which the requested exemption will apply.

- 2. Please describe in detail the office, position, and title to which the requested exemption will apply and a complete description of the activities, duties and responsibilities. Please attach or describe any proposed or current written or oral agreements, contracts, or understandings with any entity engaged in the business of insurance as defined by 18 U.S.C. § 1033. (If consent is given, it will be applicable to the activities described herein.) Please include your date of employment or proposed date of employment.

SECTION IV – PREVIOUS EMPLOYMENT

Please specify the name and address of any previous employers for whom you have worked since the date of the conviction for which you are seeking written consent. Include dates, positions and duties.

SECTION V – OTHER INFORMATION

Please use this space to set forth any other information that you believe is relevant to your application.
