



Our records indicate that your initial answers to the background questions do not match the documentation we reviewed. We ask that you review your answers to the background questions below, sign, and return to our office.

- 1. 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 _____
- 2. 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 _____
- 3. 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? Yes _____ No _____

NOTE: For the above questions, "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.

- 4. 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 _____
- 5. Excluding personal bankruptcies, has any demand been made of 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 LLC, for overdue monies by an insurer, insured or producer, or have you ever been subject to a bankruptcy proceeding? Yes _____ No _____
- 6. 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? Yes _____ No _____
- 7. 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 _____
- 8. Have you or any business in which you are or were an owner, partner, officer or director, or member or manager of a LLC, ever had an insurance agency contract or any other business relationship with an insurance company terminated for any alleged misconduct? Yes _____ No _____
- 9. Do you have a child support obligation in arrearage that is NOT the subject of a repayment agreement? Yes _____ No _____

_____ **Print / Type Full Legal Name**

_____ **Wet Signature**

_____ **Month / Day / Year**

