



Biographical Questionnaire for Premium Finance Companies

Affiant's Full Name _____

Street _____

City _____

State _____

Zip _____

Email _____

In connection with the above-named Affiant, I herewith make representations and supply information about me as hereinafter set forth. (Attach addendum or separate sheet if space hereon is insufficient to answer any question fully.) IF ANSWER IS "NO" OR "NONE", SO STATE.

1. Affiant's Full Name (Initials Not Acceptable) _____

2. a. Have you ever had your name changed? (If yes, give the reason for the recent change.)

☐ YES

☐ NO

b. Other names used at any time _____

3. Affiant's Social Security # _____

4. Birth:

Date _____

Place _____

5. Business Street Address _____

City _____

State _____

Zip _____

Business Phone _____

E-mail Address _____

6. List your residence for the last five (5) years starting with your current address, giving:

DATE

STREET ADDRESS

CITY / STATE

ZIP

--

7. Education: Dates, Names, Locations and Degrees

College

DATES

NAMES

CITY / STATE

DEGREES

--

Graduate Studies

DATES

NAMES

CITY / STATE

DEGREES

--

Others

DATES

NAMES

CITY / STATE

DEGREES

--

8. List memberships in professional societies and associations

--

9. Present or proposed position with the Applicant Premium Finance Company _____

10. List complete employment record (up to and including present jobs, positions, directorates or officerships) for the past ten (10) years, giving:

DATES

EMPLOYER

STREET/CITY/STATE

TITLE

--

11. a. Present employer may be contacted

☐ YES

☐ NO

b. Former employers may be contacted.

☐ YES

☐ NO

12. a. Have you been in a position which required a fidelity bond?

☐ YES

☐ NO

If any claims were made on the bond, give details.

--

b. Have you ever been denied an individual or position schedule fidelity bond, or had a bond cancelled or revoked? If yes, give details.

☐ YES

☐ NO

--

13. List any professional, occupational and vocational licenses issued by any public or governmental licensing agency or regulatory authority which you presently hold or have held in the past.

DATE LICENSE ISSUED

ISSUER OF LICENSE

DATE TERMINATED

REASONS FOR TERMINATION

--

14. During the last ten (10) years, have you ever been refused a professional, occupation, or vocational license by any public or governmental licensing agency or regulatory authority, or has any such license held by you ever been suspended or revoked?

☐ YES

☐ NO

If yes, give details

15. List any insurer, or company having or exercising control of an insurer, in which you control directly or indirectly 10% or more of the outstanding stock or shares (in voting power).

If any of the stock is pledged or hypothecated in any way, give details

16. Will you or members of your immediate family subscribe to or own, beneficially or of record, shares of stock of the applicant Premium Finance Company or its affiliates? If any of the shares of stock are pledged or hypothecated in any way, give details.

☐ YES

☐ NO

17. Have you ever been adjudged a bankrupt?

☐ YES

☐ NO

18. a. Have you ever been convicted or had a sentence imposed or suspended or had pronouncement of a sentence suspended or been pardoned for conviction of or pleaded guilty or nolo contendere to any information or indictment charging any felony, or charging a misdemeanor involving embezzlement, theft, larceny, or mail fraud, or charging a violation of any corporate securities statute or any insurance law, or have you been the subject of any disciplinary proceedings of any federal or state regulatory agency? ☐ YES ☐ NO If yes, give details.

- b. Has any company been so charged, allegedly as a result of any action or conduct on your part? ☐ YES ☐ NO If yes, give details.

19. Have you ever been an officer, director, trustee, investment committee member, key employee, or controlling stockholder of any Premium Finance Company which, while you occupied any such position or capacity with respect to it, became insolvent or was placed under supervision or in receivership, rehabilitation, liquidation or conservation?

☐ YES

☐ NO

If yes, give details.

20. Has the certificate of authority or license to do business of any Premium Finance Company of which you were an owner or operator or key management person ever been suspended or revoked while you occupied such position?

☐ YES ☐ NO If yes, give details.

Dated and signed this _____ day of _____ at _____
(County)

in _____. I hereby certify under penalty of perjury that I am acting
(City)
on my own behalf, and that the foregoing statements are true and correct to the best of
my knowledge and belief.

(Signature of Affiant)

State of _____

County of _____

Personally appeared before me the above named _____
personally known to me, who, being duly sworn deposes and says that he/she executed the above
instrument and the statements and answers contained therein are true and correct to the best of his/
her knowledge and belief.

Subscribed and sworn to before me this _____ day of _____ 20_____.

(Notary Public)

(SEAL)

My Commission Expires _____