

**INSTRUCTIONS FOR EXCESS LINE BROKER APPLICANT**

Match the submission code numbers listed under the “Resident” (one who has declared New York as their Home State; Home State means the District of Columbia or any state or territory of the United States in which the applicant maintains his, her or its principal place of residence or principal place of business) or “Non-Resident” (one who has declared a state OTHER than New York as their Home State AND who is licensed or authorized in their Home State).

**INDIVIDUAL/TBA LICENSES WILL BE ISSUED WITH AN EXPIRATION DATE DETERMINED BY DATE OF BIRTH:**

\*\*If you were born in an even numbered year, your license will expire on your birthday in an even numbered year.

\*\*If you were born in an odd numbered year, your license will expire on your birthday in an odd numbered year.

CODE	DESCRIPTION OF LICENSE	INS. LAW SECTION	SUBMISSION CODES		OTHER REQUIREMENTS	LICENSING PERIOD	FEE	
			RESIDENT	NON-RESIDENT			FULL FEE	HALF FEE
<b>EX</b>	Excess Line Broker	2105	1, 2, 3, 6	1, 2, 4, 5, 6, 7*	Must be licensed as a BR (broker) under Section 2104 **See 3 & 4 below for clarification	<b>Individual/TBA</b> – up to 2 years from date of issue to Date of Birth Expiration** (See Note Above) Corresponding with qualifying BR license <b>Entities</b> - 2 yrs-11/1 to 10/31 of even years corresponding with qualifying BR license	\$400 or \$50 (See code 2 below)	\$200 or \$25 (See code 2 below)

<b>CODE</b>	<b>SUBMISSION REQUIREMENT CODE CHART</b>
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1. Application
2. **FEE –RESIDENT** - \$400 or \$200 if the applicant maintains an office in, or acts as an excess line broker in placing insurance on risks located in any county in this state having a population of 100,000 or more. \$50 or \$25 in all other cases. **NON-RESIDENT** - \$400 OR \$200. **Full fees** are charged during the first year of a licensing period; **half fees** are charged during the second year. See “Fee” columns above. Make check payable to “Superintendent of Financial Services.” \$20 will be charged for each check dishonored by the bank.
3. \*\*Section 2105 of the Insurance Law requires that an Excess Line Broker be licensed as a broker under Section 2104 of the Insurance Law. **Residents** must submit a separate application under Section 2104 of the New York Insurance Law
4. \*\*Section 2105 of the Insurance Law requires that an Excess Line Broker be licensed as a broker under Section 2104 of the Insurance Law. If you are a non-resident and do not currently hold a New York broker license under Section 2104 and are applying for an Excess Line Broker License, an Excess Line Broker license from another state meets the qualification to become licensed as a broker in this state. No application is required for a broker license for **non-residents**; however, an additional fee for this license is required. See the attached fee schedule for a non-resident broker license under Section 2104. Please add this fee to the above applicable license fee.
5. Must be currently licensed and in compliance in your declared home state. **NOTE:** Your license information **MUST** be included in the National Producer Database; if not, you must submit a currently dated Certification from the state you have declared as your home state and in which your principle place of business or residence is located.
6. If not already on file with this Department, proof of required filing of a partnership, corporation, limited liability company, or trade name. It is recommended that the applicant obtain name approval for use of the name in the insurance industry from this Department before filing the name with a County Clerk office or the New York State Department of State. You may submit a list of proposed names in the order of preference to New York State Dept. of Financial Services, One Commerce Plaza, Albany, NY 12257 or to our e-mail address, [licensing@dfs.ny.gov](mailto:licensing@dfs.ny.gov). Once a name is approved, licensing instructions will be provided.
7. \*If Home State is **California** – \$50,000 BOND is required.

**NOTE – If your declared home state is in Montana, Florida or Missouri (entities), you will be issued a LIMITED EXCESS LINE BROKER LICENSE.**

**STATE OF NEW YORK  
DEPT. OF FINANCIAL SERVICES  
ONE COMMERCE PLAZA  
ALBANY, NEW YORK 12257  
[www.dfs.ny.gov](http://www.dfs.ny.gov)**

**AGENT/BROKER/EXCESS LINE BROKER/REINSURANCE INTERMEDIARY/CONSULTANT SUPPLEMENTAL  
STATEMENT BY OFFICER OR DIRECTOR\* OF CORPORATION OR BY MEMBER\* OF PARTNERSHIP OR LIMITED  
LIABILITY COMPANY TO ACT AS SUBLICENSEE**

\*Or By Designated Employee if Reinsurance Intermediary

FOR ENTITY LICENSE NUMBER \_\_\_\_\_  
(Prefix)

Give full name of entity and its license number

1.

Name of Applicant		Last		First		M.I.	
Social Security Number*		NY Individual Lic # if Any		National Producer # (NPN) If Any		Date of Birth	
						Gender M ___ F ___	
Residence: No. and Street (required)			P.O. Box, if any		City/Town/ Village	County	State/Country
							Zip Code
Mailing Address: (required)(Indicate if same as Bus or Res)			P.O. Box, if any		City/Town/Village	County	State/Country
							Zip Code

2. Are you under obligation to pay child support?.....  
Yes or No

**If "Yes,"**

(a) Are you current or less than 4 months in arrears? .....  
Yes or No

(b) Are you paying by income execution plan agreed to by courts or parties?.....  
Yes or No

(c) Is the obligation the subject of pending court proceeding?.....  
Yes or No

(d) Are you receiving public assistance or supplemental income?.....  
Yes or No

If answer to the question regarding obligation to pay child support is "Yes," one of the answers to (a)-(d) must be "Yes" or license will expire 6 months from its effective date unless you notify the Department by that time which answer has changed to "Yes."

**If any of the following questions are answered "YES," an explanation must be attached.**

3. Other than traffic infractions:

(a) Have you ever been convicted of a crime, had a judgment withheld or deferred, or are you currently charged with committing a crime?.....  
Yes or No

"Crime" includes a misdemeanor, felony or a military offense. You may exclude misdemeanor traffic citations or convictions involving driving under the influence (DUI) or driving while intoxicated (DWI), driving without a license, reckless driving, or driving with a suspended or revoked license and juvenile offenses. "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 having been given probation, a suspended sentence or a fine.

If you have a felony conviction, have you applied for a waiver as required by 18 USC 1033? N/A \_\_\_ Yes \_\_\_ No \_\_\_

If so, was that waiver granted? (Attach copy of 1033 waiver approved by home state.) N/A \_\_\_ Yes \_\_\_ No \_\_\_

(b) Have you ever been named or involved as a party in an administrative proceeding regarding any professional or occupational license or registration?.....  
Yes or No

"Involved" means having a license censured, suspended, revoked, canceled, terminated; or, being assessed a fine, a fine, a cease and desist order, a prohibition order, a compliance order, placed on probation 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. "Involved" also means having a license 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, 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.



**THE REMAINDER OF THIS FORM MUST BE COMPLETED BY THE ENTITY LICENSEE**

If the only sub-licensee is being replaced, you must furnish the date the previous sub-licensee ceased to act on behalf of the entity: \_\_\_\_\_

Has the entity transacted business in New York State for the authority you are applying for in this supplemental statement since that date?.....  
Yes or No

If "Yes," who acted on its behalf? \_\_\_\_\_

**COMPLETE THE ENDORSEMENT BELOW**

**ENTITY ENDORSEMENT**

I hereby certify that \_\_\_\_\_  
ENTITY NAME

wishes to add \_\_\_\_\_  
NAME TITLE

as sub-licensee to ENTITY LICENSE # \_\_\_\_\_.

\_\_\_\_\_  
Signature and title of officer/director/partner/member other than the applicant sub-licensee unless the applicant/sub-licensee is the only officer/director/partner/member.

**\* \* CHILD SUPPORT NOTIFICATION \* \***

Persons four (4) months in arrears in child support or who have failed to comply with a summons, subpoena, or warrant relating to paternity or child support proceeding may be subject to suspension of their business, professional, driver, and/or recreational licenses and permits including, but not limited to, licenses pursuant to §11-0713 of the Environmental Law.

Intentional submission of false statements for the purposes of frustrating/defeating lawful enforcement of support obligations is punishable under §175.35 of the Penal Law.

**\* \* PRIVACY NOTIFICATION \* \***

Pursuant to Article 1, Section 5 of the New York State Tax Law, it is mandatory that you report your Social Security Number and/or Employer Identification Number. Your failure to respond may be reported to the Department of Taxation and Finance. These tax identification numbers are being collected to enable the Department of Taxation & Finance to identify entities which are delinquent in or have understated their tax liabilities, and may be used for any purpose authorized by the Tax Law. They will be maintained by the Director, Licensing Services Bureau, New York State Dept. of Financial Services, One Commerce Plaza, Albany, New York 12257. Telephone: (518) 474-6630.

The New York State Dept. of Financial Services will, absent your written objection, which must be attached to this application, provide these tax identification numbers to the National Association of Insurance Commissioners for inclusion in its Producer Database.