



NEW YORK STATE
DEPARTMENT OF FINANCIAL SERVICES
LICENSING SERVICES BUREAU
Continuing Education Program
 One Commerce Plaza
 Albany, New York 12257

FOR DEPARTMENT USE	
Approval No.:	_____
Examined By:	_____
Date Approved:	_____

INDIVIDUAL MONITOR APPROVAL APPLICATION

1.

Name of Monitor		Soc. Security No. *		Gender M <input type="checkbox"/> F <input type="checkbox"/>	
Address Number and Street				PO Box (if any)	
City, Town or Village		County (NY only)	State	Zip Code	
Telephone Number		Fax Telephone Number		Email Address	

* SEE PRIVACY NOTIFICATION ON PAGE 2.

2. Do you wish to have your contact information included in Department publications? YES NO

3. Qualification to act as approved monitor (check one and provide copy of approval document or license):

- A. Approved Prelicensing or Continuing Education Instructor
- B. Licensed teacher
- C. Others acceptable to Superintendent (Please provide description of qualifications below and attach any supporting documents[i.e.: resume or biographical statement]).

If 3.C. is checked, provide description of qualifications here:

4. 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 approval will expire 6 months from its effective date unless you notify the Department by that time which answer has changed to "Yes".

5. The Applicant must read the following very carefully and answer every question:

- a** Have you been convicted of a crime, had a judgment withheld or deferred, or are you currently charged with committing a crime, which has not been previously reported to this state?

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.

- b** Have you, been involved in an administrative proceeding regarding any professional or occupational license or registration which has not been previously reported to this state?

Yes or 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 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 for failure to pay a renewal fee.

- c** Since execution and filing of your last application has any demand been made or 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 limited liability company, for overdue monies by an insurer, insured or producer or have you ever been subject to a bankruptcy proceeding? Do not include personal bankruptcies unless they involve funds held on behalf of others?

Yes or No

- d** Since execution and filing of your last application, 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 or No

- e** Since execution and filing of your last application, are you currently a party to, or have you, been found liable in any lawsuit, arbitration or mediation proceeding involving allegations of fraud, misappropriation or conversion of funds, misrepresentation or breach of fiduciary duty?

Yes or No

- f** Since execution and filing of your last application have you, or any business in which you are or were an owner, partner, officer, or director, or member or manager of a limited liability company, had an insurance agency contract or any other business relationship with an insurance company terminated for any alleged misconduct?

Yes or No

All monitor renewal applicants must read the following:

If approved to act as a Monitor for examinations for self-study courses, the applicant agrees to comply with Monitor responsibilities, which include assuring that:

- the examination is administered in accordance with the Course Approval issued by the Department, including the use of only manuals or schedules approved for use in this examination by the Department;
- the examination, together with a copy of the Monitor Approval Document and the attestation signed by the Monitor and Designated Person, is forwarded to the Provider Organization for scoring, recording and the issue of the Course Completion Document;
- the Provider Organization is promptly notified of any activity by an examinee which does not comply with appropriate examination procedures including cheating, impersonation and using unapproved reference material.

If approved to act as a Monitor I agree not to monitor the exam of any licensee who by their insurance activities will result in my receipt of commissions or overrides.

If approved as a Monitor, I will comply with the above responsibilities.

Signature

Date

*** * * 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 and 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 Department of Financial Services, One Commerce Plaza, Albany, New York 12257. Telephone: (518) 474-6630.

The New York State Department 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.