



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: _____

MONITOR ORGANIZATION APPROVAL APPLICATION

1. Type of Monitor

- Monitor Organization**
 Provider Monitor (to check this box, you must be an approved Provider Organization)

2. Please provide the following information:

Name of Monitor	Taxpayer I.D. No. *		Website Address(www.)
Headquarters Address	Number and Street	PO Box (if any)	Telephone Number
City, Town or Village	County (NY only)	State	Zip Code

3. Please name a Designated Person in Charge of Monitoring (you may name only one) **

Designated Person in Charge of Monitoring	Social Security No. *	Gender M <input type="checkbox"/> F <input type="checkbox"/>	
Mailing Address	Number and Street (Required)		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.

** The named Designated Person may arrange for other responsible members to monitor examinations. Separate Monitor Approval Applications do not have to be filed for each person acting as a monitor for the organization. The Designated Person must countersign all attestation documents to be submitted to the Provider Organization with the examination. A Designated Person must be accessible to this Department on a daily basis, able to communicate with us when issues arise and be given the authority to resolve Department concerns.

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

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

- A. Approved Provider Organization
- B. Licensed and admitted insurers (Only training officers and disinterested supervisory personnel not affiliated with examinee by overrides or other compensation arrangements may act as monitors.)
- C. Licensed college, university, school
- D. Professional Society or Professional Organization
- E. Others acceptable to Superintendent (Please provide description of qualifications below and attach any supporting documents[i.e. resume or biographical statement]).

If 5.E. is checked, provide description of qualifications here:

6. Is any officer, director, partner or member of the monitor organization under obligation to pay child support?

Yes or No

If "Yes," attach signed child support obligation form for each individual under such obligation.

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

- a** Has the business entity or any officer/director/partner/member/manager of the business entity been convicted of a crime, or is currently charged with committing a crime, or had a judgment withheld or deferred 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** Has the business entity or any officer/director/partner/member/manager of the business entity been named or involved as a party 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 its last application has any demand been made or judgment rendered against the business entity or any officer/director/partner/member/manager for overdue monies by an insurer, insured or producer, or 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 its last application has the business entity or any officer/director/partner/member/manager 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 its last application is the business entity or any officer/director/partner/member/manager a party to, or been found liable in any lawsuit or arbitration 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 its last application has the business entity or any officer/director/partner/member/ manager had an insurance agency contract or any other business relationship with an insurance company terminated for any alleged misconduct? _____
Yes or No

All monitor 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.

The Monitor Organization must agree not to assign individuals to monitor the exam of any licensee who, by the licensee's insurance activities, will result in a financial conflict of interest with said individual i.e. receipt of commissions or overrides.

If approved as a Monitor, this Organization agrees to comply with the above responsibilities.

Signature of Designated Person in Charge of Monitoring

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.

CHILD SUPPORT OBLIGATION FORM

Name of Entity on Application (Please Print)

License Number

Name of Individual (Please Print)

Date of Birth

Social Security Number

- | | YES | NO |
|--|-----------------------|-----------------------|
| Are you under obligation to pay child support? | <input type="radio"/> | <input type="radio"/> |
| If "YES," (a) Are you less than four (4) months in arrears? | <input type="radio"/> | <input type="radio"/> |
| (b) Are you paying by income execution plan agreed to by courts or parties | <input type="radio"/> | <input type="radio"/> |
| (c) Is the obligation subject of pending court proceeding? | <input type="radio"/> | <input type="radio"/> |
| (d) Are you receiving public assistance or supplemental security income? | <input type="radio"/> | <input type="radio"/> |

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 six (6) months from the effective date of this license unless you notify the Department by that time which answer has changed to "YES."

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 license and permits including, but not limited to, licenses issued pursuant to §11-0713 of the Environmental Conservation Law.

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

Under the penalties of perjury, I affirm that I have read this form and affirm that the information given on this form is true and hereby subscribe thereto.

Printed Name of Applicant

Signature

Date