



**STATE OF NEW YORK
INSURANCE DEPARTMENT**
25 BEAVER STREET
NEW YORK, NEW YORK 10004

**Circular Letter No. 6 (2001)
March 12, 2001**

TO: All Licensed Insurance Companies

RE: Fingerprinting of Officers and Directors

STATUTORY REFERENCES: Insurance Law Sections 1102(e)(2) and 7402(n)

The Department requires the submission of biographical questionnaires and fingerprint cards in connection with various types of applications and corporate changes. These two documents enable the Department to ascertain whether a person who is deemed to be involved in the affairs of a licensed insurance company has been convicted of any crime involving acts of fraud, dishonesty, moral turpitude or untrustworthiness.

Since fingerprints provide positive identification from which an individual can be readily identified, and in light of the technological advances that have greatly simplified fingerprinting procedures, the Department has now concluded that fingerprints should always be a part of our investigation process.

Therefore, in order to address the Department's need for a complete investigation of the integrity and character of the officers and directors of insurance companies (including Article 43 Corporations) and persons seeking to acquire control of a domestic insurer (or its ultimate holding company), we will require that every individual who is requested to complete a biographical questionnaire also submit fingerprint cards.

Very truly yours,

Neil D. Levin
Superintendent of Insurance