



***Viatical Broker Individual
License Application Checklist***

All Applicants:

- Non-refundable Filing Fee of \$200.00. [ORC section 3916.03(A); OAC section 3901-9-02(J)(1)]
(Check or money order made payable to the “State of Ohio Treasurer”.)
- Completed Viatical Settlement Broker Application (Form INS3218). [ORC section 3916.03(A)]
- Documentation of the applicant's qualifications to engage in the Viatical Settlement broker business [ORC section 3916.03(C)(2)(b)], either by:
 - Resume or Curriculum Vitae, or
 - Letter describing education, training and relevant work/professional experience, professional designations, professional licenses held.
- If applicant will be conducting business using any name other than the applicant's personal legal name, proof of registration with the Ohio Secretary of State.
- Written anti-fraud program that complies with ORC section 3916.18(G). [ORC section 3916.03(C)(4)]
- Description of procedures in place to safeguard the confidentiality of viators' personal and medical information that complies with ORC section 3916.13.

Yes Has applicant previously held an Ohio individual Viatical Settlement broker license?

No

If the answer is yes, list expiration date of license. _____

If expired within twelve months of this license application, please provide the following documents:

- Proof of completion of all VSE requirements for the compliance period applicable to the previous license [must complete any missing VSE credits].
- VSE extension fee of \$100.00

Additional Requirements for Resident Applicants:

- Complete a State and Federal criminal records check through the Ohio Bureau of Criminal Identification and Investigation (BCI&I). Contact BCI&I at 1-877-224-0043 or (740) 845-2000. [ORC sections 3916.03(C) and 3916.03(E)]

Additional Requirements for Nonresident Applicants:

- Certificate of Good Standing from domicile state. [ORC section 3916.03(C)(3)]
- Complete a Federal criminal records check through your local law enforcement agency and have the results sent directly to the Ohio Department of Insurance. Non-resident agents may contact the Ohio Bureau of Criminal Identification and Investigation (BCI&I) at 1-877-224-0043 or (740) 845-2000 and request a fingerprint packet. Take this packet to your local law enforcement agency and ask them to send the results directly to the Ohio Department of Insurance.
- Copy of Viatical broker license or documentation of authority to engage in Viatical brokering in domicile state or, documentation that the applicant's domicile state does not license Viatical Settlement brokers.
- Name and address of appointed Agent for Service of Process located in the state of Ohio. [ORC section 3916.03(H)(1)] or, Written Consent to Service of Process on Superintendent by signing application. [ORC section 3916.03(H)(2)]

**NOTE: APPLICATIONS SUBMITTED WITHOUT ALL OF THE ABOVE LISTED ITEMS
WILL BE RETURNED TO THE APPLICANT AS INCOMPLETE.**