

9. Please provide PEI Insurance Agent license number: _____

10. Name of Sponsoring Company, Address and Contact Information:

Disciplinary Action, Bankruptcy, Judgements and Civil Proceedings

11. Have you **ever** had a license or registration to deal with the public refused, revoked, suspended or cancelled or subject to any restrictions or conditions?

No Yes If yes, please attach details

12. Do you have any other occupation or employment other than as an insurance agent?

No Yes If yes, please attach details

13. Have you **ever** been successfully sued or has a complaint **ever** been made against you to a regulatory body in any province, territory, state, or country that was or is, based in whole or in part, on fraud, theft, deceit, misrepresentation, forgery, or similar conduct; or based in whole or in part, on professional negligence or misconduct (including claims paid by your errors and omissions insurance carrier or bonding company)?

No Yes If yes, please attach details

14. Have you **ever** been subject to discipline or are you currently the subject of an investigation by a regulatory authority in this jurisdiction or elsewhere?

No Yes If yes, please attach details

15. Have you **ever** been declared bankrupt or made a voluntary assignment in bankruptcy or are you currently an undischarged bankrupt?

No Yes

If yes, attach details, including trustee's name and address, location of bankruptcy filing, assignment of bankruptcy or receiving order, statement of affairs, and an explanation as to the circumstances of the bankruptcy.

16. Have you **ever** been an officer or director or a controlling shareholder in a corporation or partnership that made a voluntary assignment in bankruptcy or is currently an undischarged bankrupt?

No Yes If yes, please attach details as in question 17

17. Are you currently a defendant in any civil proceeding or are there any unsatisfied judgements imposed by a civil court, in Canada or elsewhere, against you personally or against a business in which you have an interest of at least ten percent?

No Yes If yes, please attach details

18. Have you **ever** applied for a surety bond or fidelity bond and been refused or have you ever had a surety bond or fidelity bond revoked?

No Yes If yes, please attach details

19. Have you **ever** been convicted or charged, or are you currently charged with any offence under any law of any province, territory, state or country, or are you currently the subject of any charges?

No Yes If yes, please attach details

20. Has any partnership or company of which you are or were at the time of such an event a partner, officer, director or shareholder, **ever** pleaded guilty or been found guilty, or is any such partnership or company currently the subject of a charge or indictment, under any law of any province, state or country for contraventions, offences or other conduct relating to the business of insurance, selling of policies or any other activity related to insurance?

No Yes If yes, please attach details

21. Have you **ever** had an employment or business relationship terminated for breach of confidentiality, breach of trust, fraud, misappropriation of funds, theft, forgery, sexual harassment, or physical assault?

No Yes If yes, please attach details

22. Declaration/Attestation

- I, the undersigned applicant, certify that the information given by me in this application is true and complete to the best of my knowledge and belief and hereby undertake to notify the licensing authority in writing of any material change.
- I agree that by signing this application I accept responsibility for these answers and undertakings.
- I understand and will comply with the laws governing the Certificate of Authority I am applying for in Prince Edward Island. (See Appendix A)

Signature of Applicant

Date

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THE ABOVE APPLICANT WILL NOT ACT AS AN AGENT UNTIL A LICENSE IS ISSUED.

Prince Edward Island

Our legislation allows us to issue a Certificate of Authority as opposed to a license.

We require a Letter of Good Standing from a non-resident applicant's home jurisdiction or a copy of existing Certificate of Authority from home jurisdiction.

All new resident general insurance applicants and non-resident general insurance applicants who do not hold a full license in their home jurisdiction, must provide a transcript which indicates that they have successfully completed the Insurance Brokers Association of Canada's Fundamentals of Insurance Exam or C11 (or C81 and C82 as an equivalent) of the Insurance Institute of Canada syllabus.

There is no regulatory requirement to carry errors and omissions insurance.

All applicants for a Certificate of Authority must be sponsored by an Insurer licensed in the Province. In addition, the sponsoring insurer must be licensed to offer the classes of insurance requested by the applicant.

If the sponsoring insurer terminates the sponsorship of this agent they must provide written notice to the licensing authority immediately.

The application fee for a new or renewal of a two year Certificate of Authority is \$200 payable to the Minister of Finance. Our contact information is as follows:

Financial and Consumer Services Division
Department of Justice and Public Safety
P. O. Box 2000
105 Rochford Street, 1st Floor, Shaw Building
Charlottetown, PE
C1A 7N8

Phone: 902-368-4550

Email: licensing@gov.pe.ca