

**STATE OF TENNESSEE  
DEPARTMENT OF COMMERCE & INSURANCE**

**BIOGRAPHICAL AFFIDAVIT**

A biographical affidavit is required if you hold one or more of the following positions:

- |  |                                   |  |
|--|-----------------------------------|--|
| <input type="checkbox"/> Captive Owner     | <input type="checkbox"/> Director | <input type="checkbox"/> Captive Manager             |
| <input type="checkbox"/> SBU or Cell Owner | <input type="checkbox"/> Officer  | <input type="checkbox"/> Certified Public Accountant |
| <input type="checkbox"/> Trustee/Fiduciary | <input type="checkbox"/> Member   | <input type="checkbox"/> Actuary                     |

Attach addendum or separate sheet if space is insufficient to fully answer any question.

1. Applicant's Full Name: \_\_\_\_\_ SSN: \_\_\_\_\_
2. DOB: \_\_\_\_\_ Place of Birth: \_\_\_\_\_
3. Current Address: \_\_\_\_\_
4. Telephone Number: \_\_\_\_\_ Email Address: \_\_\_\_\_
5. Citizenship Status:  US citizen  Permanent Resident  
 Noncitizen National of the US  Alien Authorized to Work

If not a US citizen, include country of citizenship \_\_\_\_\_

6. List all Permanent Addresses for the past 10 years:

Address:	City, State	Dates:
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

7. Education Level                      School Attended:                      Degree Awarded:  
High School: \_\_\_\_\_  
College: \_\_\_\_\_  
Graduate or Professional: \_\_\_\_\_

8. If applicable, name of captive insurance company or authorized provider:  
\_\_\_\_\_  
\_\_\_\_\_

9. Applicant' Business Name and Address: \_\_\_\_\_

10. Business Telephone: \_\_\_\_\_ E-Mail Address: \_\_\_\_\_

11. Identify employment for past 10 Years (up to and including present position). Please list the most recent first.

Date:	Name of Entity	Position Held
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

12. May your current employer be contacted?  YES  NO  
IF YES, please provide contact information:

\_\_\_\_\_

13. List all Director and Officer positions held in the past 3 years:

Date	Company Address	Title
_____	_____	_____
_____	_____	_____
_____	_____	_____

14. List memberships in professional societies and associations:

\_\_\_\_\_  
\_\_\_\_\_

15. List professional, occupational, vocational licenses and/or certifications you presently hold:

\_\_\_\_\_  
\_\_\_\_\_

- | 16. Have you ever:   | YES                      | NO                       |
|--|--------------------------|--------------------------|
| a. Been refused an occupational, professional, or vocational license or permit by any regulatory authority, or any public administrative, or governmental licensing agency?  | <input type="checkbox"/> | <input type="checkbox"/> |
| b. Had any occupational, professional, or vocational license or permit you hold or have held, been subject to any judicial, administrative, regulatory, or disciplinary action?  | <input type="checkbox"/> | <input type="checkbox"/> |
| c. Been placed on probation or had a fine levied against you or your occupational, professional, or vocational license or permit in any judicial, administrative, regulatory, or disciplinary action?                          | <input type="checkbox"/> | <input type="checkbox"/> |
| d. Been convicted or tried for, received deferred adjudication or probation, or pleaded guilty, or nolo contendere to the commission of any felony or misdemeanor or the violation of any law except civil traffic offense(s)? | <input type="checkbox"/> | <input type="checkbox"/> |

- e. Been subject to a cease and desist letter or order, or enjoined, either temporarily or permanently, in any judicial, administrative, regulatory, or disciplinary action, from violating and federal, state law or law of another country regulating the business of insurance, securities or banking, or from carrying out any particular practice or practices in the course of the business of insurance securities or banking?
- f. Been, within the last ten (10) years, a party to any civil action involving dishonesty, breach of trust, lien or a financial dispute in excess of \$ 10,000?
- g. Had a finding made by the Comptroller of any state or the Federal Government that you have violated any provisions of small loan laws, banking or trust company laws, or credit union laws, or that you have violated any rule or regulation lawfully made by the Comptroller of any state or the Federal Government?

If the response to any question above is answered "Yes", please provide details including dates, locations, dispositions, etc. Attach a copy of the complaint and filed adjudication or settlement as appropriate.

17. Have You ever:
- |   | YES                      | NO                       |
|---|--------------------------|--------------------------|
| a. Been in a position which required a fidelity bond?   | <input type="checkbox"/> | <input type="checkbox"/> |
| Have any claims been made?  | <input type="checkbox"/> | <input type="checkbox"/> |
| b. Been denied an individual or position schedule fidelity bond, or had a bond canceled or revoked?   | <input type="checkbox"/> | <input type="checkbox"/> |
| If yes, give details: _____   |                          |                          |
| c. Has a company ever been so charged, allegedly as a result of any action or conduct on your part?   | <input type="checkbox"/> | <input type="checkbox"/> |
| If yes, give details: _____   |                          |                          |
| d. Have you ever been an officer, director, trustee, investment committee member, key employee, or controlling stockholder of an insurer which, while you occupied any such position or capacity with respect to it, became insolvent or was placed in conservatorship, or was enjoined from or ordered to cease and desist from violating any securities or insurance law? | <input type="checkbox"/> | <input type="checkbox"/> |
| If yes, give details: _____   |                          |                          |
| e. Has any insurer of which you are/were an officer, director, or key management person at the time ever been denied, refused or voluntarily withdrawn its application for a license or certificate of authority?   | <input type="checkbox"/> | <input type="checkbox"/> |
| If yes, give details: _____   |                          |                          |
| f. Has the certificate of authority or license to do business of any insurance company of which you are/were an officer or director or key management person ever been suspended or revoked while you occupied such position?   | <input type="checkbox"/> | <input type="checkbox"/> |
| If yes, give details: _____   |                          |                          |

18. Owner Declaration (if applicable):

a. I and/or members of my immediate family control directly or indirectly, or own legally or beneficially, 10% or more of the outstanding stock (in voting power) of the following insurers:

b.

I

\_\_\_\_\_ as an owner with interest equal to or greater than 10% in \_\_\_\_\_

(name of captive) a Tennessee captive insurance company applicant, hereby agree that Tennessee Law prohibits me from taking any action that would violate the provisions of Chapter 13 of Title 56 of the Tennessee Insurance Code. My signature below shows that I understand and will abide by the cited law.

19. Trustee Declaration (if applicable):

I

\_\_\_\_\_ (name of trust), as a trustee of

\_\_\_\_\_ (name of trust),

\_\_\_\_\_ hereby agree that Tennessee Law prohibits a Trustee of a trust that owns shares in

\_\_\_\_\_ (Name of captive), a Tennessee captive

\_\_\_\_\_ Company, from taking any action that would violate the provisions of Chapter 13 of Title 56 of the My signature below shows that I understand and will abide by the cited law.

EXECUTION PAGE FOLLOWS

Dated and signed this \_\_\_\_ day of \_\_\_\_\_, 20\_\_

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete.

Signature of Affiant: \_\_\_\_\_

Personally appeared before me the above named \_\_\_\_\_ personally known to me, who, being duly sworn, deposes and says that he/she executed the above instrument and that the statements and answers contained therein are true and correct to the best of his/her knowledge and belief.

Subscribed and sworn to before me this \_\_\_\_ day of \_\_\_\_\_, 20\_\_

Signature of Notary Public: \_\_\_\_\_

My commission expires on: \_\_\_\_\_

NOTARY SEAL