



Viatical Broker Individual Initial License Application Checklist

All Applicants:

- Non-refundable filing fee of \$200.00.
(Check or money order made payable to the “State of Ohio Treasurer”; credit card or ACH accepted with online application.)
- Completed viatical settlement broker application form:
 - [Online Application](#)
 - Paper Application ([Form INS3281](#))
- 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.
- Has applicant previously held an Ohio individual viatical settlement broker license?
If the answer is yes, list expiration date of license. _____
If expired within twelve months of this license applications, 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.] [OAC sections 3901-9-02(E)(a) and 3901-9-02(E)(b)]
 - VSE extension fee of \$100.00. [OAC sections 3901-9-02(J)(2) and 3901-9-02(E)(5)(c)]

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 3905.051]

Additional Requirements for NONRESIDENT Applicants:

- Must have an active viatical settlement broker license, or equivalent, in home state.
- 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.
- 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.**