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## ***Viatical Broker Entity*** ***Renewal License Application Checklist***

### **All Applicants:**

- Non-refundable filing fee of \$100.00. [ORC section 3916.03(A) and OAC section 3901-9-02(J)(2)]  
(Check or money order made payable to the “State of Ohio Treasurer”; credit card or ACH accepted with online application.)
- Completed viatical settlement broker entity application form: [ORC section 3916.03(F)]
  - [Online Application](#)
  - Paper Application ([Form INS3221](#))
- Provide an organizational chart that identifies all employees, partners, members, officers, and key employees, including position titles, and description of positions. The chart must also identify all owners or shareholders having 5% or greater beneficial ownership. The chart must additionally show the relationship of each to the applicant, including percentage of beneficial ownership or control. The chart must reflect actual entity organization as of the date of license renewal submission.
- Name of at least one Ohio licensed viatical broker individual who has been designated to be responsible for applicant’s compliance with Ohio insurance laws. [ORC section 3916.03]
- If different than what is on file with the Department a copy of the written anti-fraud program that complies with ORC sections 3916.18(G) and 3916.03(C)(4).
- If different than what is on file with the Department a written description of procedures in place to safeguard the confidentiality of viators’ personal and medical information that complies with ORC sections 3916.13 and 3916.07(G).
- If different than what is on file with the Department the full name and address of the agent for service of process appointed by the applicant per ORC section 3916.03.

### **Additional Requirements for RESIDENT Applicants:**

- Resident business entity applicants must be registered and in good standing with the Ohio Secretary of State before applying for a license. Contact the Ohio Secretary of State at (877) 767-6446 or [www.sos.state.oh.us](http://www.sos.state.oh.us) for registration requirements. [OAC section 3901-5-09(H)(1)(c) and ORC section 3916.03(C)(3)]

### **Additional Requirements for NONRESIDENT Applicants:**

- Must have an active viatical settlement broker license, or equivalent, in home state.
- Must provide a certificate of good standing from the domicile state’s secretary of state or equivalent.
- If required, non-resident business entities should register with the Ohio Secretary of State before doing business in Ohio. Contact the Ohio Secretary of State at (877) 767-6446 or [www.sos.state.oh.us](http://www.sos.state.oh.us) for registration requirements. [OAC section 3901-5-09(I)(5)]

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