

Ohio Department of Insurance

John R. Kasich – Governor
Mary Taylor – Lt. Governor/Director



Viatical Broker Entity 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 Broker Entity Application (Form INS3220). [ORC section 3916.03(A)]
 - Name of each partner, officer or member of the entity. [ORC section 3916.03(B); OAC section 3901-9-02(J)(2)]
 - Name of each employee designated to broker viatical transactions for the entity. [ORC section 3916.03(B)]
 - Documentation of the qualifications of each designated employee to engage in the Viatical Settlement broker business by either a resume or letter describing education, training, and relevant work/professional experience, professional designations, professional licenses held. [ORC sections 3916.03(B) and 3916.03(C)(2)(b)]
 - Name of Ohio licensed Viatical broker individual who has been designated to be responsible for applicant’s compliance with Ohio insurance laws. [ORC section 3916.03]
- Copy of approved articles of incorporation/organization. [ORC section 3916.03(E)]
- Proof of registration with the Ohio Secretary of State. [ORC section 3916.03(C)(3)]
- Written anti-fraud program that complies with ORC sections 3916.18(G) and 3916.03(C)(4).
- 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).

Additional Requirements for Resident Applicants:

- All designated individual Ohio Viatical Settlement Brokers must 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 Non-resident Applicants:

- Certificate of Good Standing from domicile state. [ORC section 3916.03(C)(3)]
- All designated individual Ohio Viatical Settlement Brokers must complete a Federal criminal records check through the 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.**