



**SURPLUS LINES APPLICATION  
BUSINESS ENTITY**

FEE - \$200.00

**MAKE CHECKS PAYABLE TO COMMONWEALTH OF PA**

**RETURN COMPLETED APPLICATION TO:  
PA INSURANCE DEPARTMENT  
BUREAU OF LICENSING AND ENFORCEMENT  
1209 STRAWBERRY SQUARE  
HARRISBURG PA 17120**

**TYPE OR PRINT IN BLACK INK**

Legal Business Type: Corporation  Partnership  Limited Liability Corporation  Limited Liability Partnership

FEDERAL TAX ID NUMBER \_\_\_\_\_ DATE OF INCORPORATION \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_  
MONTH DAY YEAR

*NOTE: A LICENSE IS REQUIRED FOR EACH UNIQUE FEDERAL TAX ID.*

FULL BUSINESS ENTITY LEGAL NAME \_\_\_\_\_

*NOTE: ANY TRADING NAMES MUST BE LISTED IN TRADING AS NAMES SECTION.*

**BUSINESS NAME** \_\_\_\_\_

**BUSINESS ADDRESS** \_\_\_\_\_

STREET \_\_\_\_\_  
CITY STATE ZIP CODE ( ) BUSINESS TELEPHONE NUMBER

*A STREET ADDRESS MUST BE PROVIDED IN THE BUSINESS ADDRESS.*

**QUALIFYING ACTIVE OFFICER/EMPLOYEES**

PROCESSING OF THIS APPLICATION WILL RESULT IN THE ISSUANCE OF A LICENSE TO THE CORPORATION/PARTNERSHIP. ALL EMPLOYEES, INCLUDING OFFICERS OR PARTNERS WHO WILL BE ACTIVE IN THE PLACEMENT OF SURPLUS LINES BUSINESS ARE REQUIRED TO BE LICENSED AS A SURPLUS LINES PRODUCER. IN ORDER FOR THE CORPORATION/PARTNERSHIP TO QUALIFY FOR A LICENSE, IT MUST DESIGNATE ONE OF ITS OFFICERS/PARTNERS AS THE QUALIFYING ACTIVE OFFICER/PARTNER FOR LICENSING PURPOSES ONLY. SUBSEQUENT ADDITIONAL EMPLOYEES, OFFICERS OR PARTNERS MAY BE ADDED BY SUBMITTING A COMPLETED ADD/REMOVE DESIGNATED LICENSEE FORM AVAILABLE ON OUR WEB SITE AT [WWW.INSURANCE.PA.GOV](http://WWW.INSURANCE.PA.GOV).

**REQUIREMENTS**

The following requirement must be satisfied by the Corporation/Partnership to qualify for a Surplus Lines License:

**RESIDENT:**

- 1. Be currently licensed in good standing as a resident Pennsylvania Property and Casualty Producer.

**NON-RESIDENT:**

- 2. Be currently licensed in good standing as a non-resident Pennsylvania property and casualty producer and be licensed in your home state for surplus lines authority.

**TRADING NAMES**

IF THE APPLICANT TRANSACTS BUSINESS UNDER AN ASSUMED TRADE NAME, PROVIDE THE FULL NAME IN THE SPACE PROVIDED.

A CORPORATION/PARTNERSHIP WITH ITS OWN FEDERAL TAX ID NUMBER CANNOT BE USED AS A TRADING AS NAME. RESIDENT CORPORATION/PARTNERSHIP APPLICANTS MUST HAVE TRADING AS NAMES REGISTERED WITH THE PA DEPARTMENT OF STATE. SUBMIT DOCUMENTATION TO THAT EFFECT.

**BACKGROUND INFORMATION**

1. Has the business entity, or the owners, officers, managers, partners or any designated licensee of the business entity, **ever** been subject to an administrative action, penalized or fined, had an insurance license or other financial services license or its equivalent refused, suspended or revoked by a Government entity or is any such action now pending? (If yes, provide a full explanation on a separate sheet of paper.) YES  NO
2. Do all **unlicensed** owners, officers, partners or employees understand they cannot perform any act of an Insurance Producer in Pennsylvania? YES  NO
3. Are all designated licensees and all other licensed Insurance Producers in the business entity familiar with and agree to abide by all the laws and regulations pertaining to the business of insurance in the Commonwealth of Pennsylvania? YES  NO

LIST THE FOLLOWING INFORMATION FOR ALL OFFICERS OF THE CORPORATION OR PARTNERS OF THE PARTNERSHIP (LICENSED AND UNLICENSED). ATTACH A SEPARATE SHEET LISTING OTHER OFFICER/PARTNERS IF NECESSARY. **INDICATE WHICH OFFICER(S) OR PARTNER(S) ARE THE QUALIFYING ACTIVE OFFICER(S) OR PARTNER(S).**

NAME	SSN	TITLE

**CERTIFICATION**

I DO HEREBY CERTIFY UNDER **PENALTY OF PERJURY** THAT THE FOREGOING STATEMENTS ARE TRUE AND CORRECT. NOTE: FALSE STATEMENTS MAY RESULT IN CRIMINAL PENALTIES, APPLICATION DENIAL, ADMINISTRATIVE ENFORCEMENT ACTION OR ALL OF THE AFOREMENTIONED.

_____ Qualifying Active Officer (QAO) Signature    Date	_____ QAO Name & Title (Printed Out)
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**NOTE: You may view the status of your license application on our web site at [www.insurance.pa.gov](http://www.insurance.pa.gov). Once your license has been issued, you may print your license from our web site. Please be advised that the Department no longer mails licenses.**