



PREMIUM FINANCING BUSINESS
Secondary Business Exemption

Name of Broker: \_\_\_\_\_ Reg. # \_\_\_\_\_

Name of Brokerage: \_\_\_\_\_ Reg. # \_\_\_\_\_

Address: \_\_\_\_\_

Name of Premium Financing Company:
\_\_\_\_\_

Address: same as Brokerage \_\_\_\_\_, or, if different;
\_\_\_\_\_

Names of partners/shareholders:

Table with 4 columns: Name, Occupation, No. of Shares, Reg. No. and 3 rows of blank lines for entry.

How long has business operated? \_\_\_\_\_ Fiscal year end \_\_\_\_\_

Total number financing contracts last fiscal year? \_\_\_\_\_

Total amount of premiums financed last fiscal year? \$ \_\_\_\_\_

Total operating capital at last fiscal year end? \$ \_\_\_\_\_

Does the company finance anything other than insurance premiums written by the Broker?

No \_\_\_\_\_ If Yes, explain: \_\_\_\_\_

Is finance company housed within Broker's business premises? \_\_\_\_\_

Where are books and records kept? \_\_\_\_\_

Person responsible for maintaining records: \_\_\_\_\_

Employed by Broker \_\_\_\_\_ OR by Finance Company \_\_\_\_\_

Are financed premiums paid to the Broker for deposit to the Trust Account on the date the loan agreement is signed by the client?

Yes \_\_\_\_\_ If No, explain: \_\_\_\_\_

Is premium financing advertised to the public? \_\_\_\_\_ Please indicate media used:
\_\_\_\_\_

AGREEMENT

It is a condition of this request for Secondary Business Exemption that the Broker and an Officer of the finance company authorized to do so grant permission to RIBO to review the books and records of the premium financing company, in addition to those of the member Broker, whenever a Financial Investigator acting with the authority of RIBO shall make a request to do so.

Permission is hereby granted to RIBO to inspect the books and records of: \_\_\_\_\_
\_\_\_\_\_, a premium financing company, whenever RIBO may request to do so.

Date: \_\_\_\_\_ Principal Broker: \_\_\_\_\_

Date: \_\_\_\_\_ Officer of Financing Company: \_\_\_\_\_

Date: \_\_\_\_\_ Witness: \_\_\_\_\_