

AmTrust North America Agency Application



General Information			
Agency Full Legal Name including DBA: Choco Insurance Agency, LLC DBA			
Agency Mailing Address: (street and or P.O. Box) 122 West St, Ste 3C	City: Brooklyn	State: NY	Zip: 11222
Business Address (Physical Location) 122 West St, Ste 3C	City: Brooklyn	State: NY	Zip: 11222
Agency Phone: (310) 770-0339			
Has the agency been cancelled by a carrier within the last 5 years? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
If Yes, please explain:			
Has the agency or anyone in the agency been convicted of a crime, excluding minor traffic offenses? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
If Yes, please explain:			
Does the agency delegate any functions to outside third parties? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
If Yes, please explain:			

Note to Applicants:

BUSINESS ENTITY - BACKGROUND QUESTIONS

THIS FORM UTILIZES SOME REPRINTED ELEMENTS FROM THE NAIC'S UNIFORM LICENSING APPLICATION PROVIDED WITH PERMISSION FROM THE NAIC. www.naic.org

1.	Does the agency comply with all state and federal privacy and data security laws and regulations (Privacy & Data Laws)? Please affirm the following: The agency does not share non-public personal information about insureds with anyone other than their affiliates and other non-affiliated third parties solely for the purpose to service the policyholder. The agency does not share non-public personal information with any non-affiliated third parties as part of any jointly marketed products or services. The agency maintains appropriate physical, electronic, and procedural safeguards to protect the privacy of the insured, claimant, or prospective insured's non-public personal information. The agency limits employee access to customer information solely to those who have a business reason to know such information. The agency contractually requires its subcontractors to comply with Privacy & Data Laws.	Y
2.	Does the agency comply with the Federal Violent Crime Control and Law Enforcement Act? Please affirm the following: The agency runs limited criminal background checks on every individual to confirm that no employee whose activities affect interstate commerce or participates in the business of insurance has been convicted of any criminal felony involving dishonesty or a breach of trust.	Y
3a.	Has the business entity or any owner, partner, officer or director of the business entity, or member or manager of a limited liability company, ever been convicted of a misdemeanor, had a judgment withheld or deferred or is the business entity or any owner, partner, officer or director of the business entity, or member or manager currently charged with, committing a misdemeanor? You may exclude the following misdemeanor convictions or pending misdemeanor charges: traffic citations, driving under the influence (DUI), driving while intoxicated (DWI), driving without a license, reckless driving, or driving with a suspended or revoked license You may also exclude juvenile adjudications (offenses where you were adjudicated delinquent in juvenile court)	N
3b.	Has the business entity or any owner, partner, officer or director of the business entity, or member or manager of a limited liability company, ever been convicted of a felony, had a judgment withheld or deferred or is the business entity or any owner, partner, officer or director of the business entity or member or manager of a limited liability company currently charged with, committing a felony? You may exclude juvenile adjudications (offenses where you were adjudicated delinquent in a juvenile court). If you have a felony conviction involving dishonesty or breach of trust, have you applied for written consent to engage in the business of insurance in your home state as required by 18 USC 1033? (If this question is not applicable, enter N/A)	N
	If so, was consent granted? (Attach copy of 1033 consent approved by home state.) (If this question is not applicable, enter N/A)	
3c.	Has the business entity or any owner, partner, officer or director of the business entity or member or manager of a limited liability company, ever been convicted of a military offense, had a judgment withheld or deferred, or is the business entity or any owner, partner, officer or director of the business entity or member or manager of a limited liability company, currently charged with committing a military offense?	N

NOTE: For Questions 3a, 3b and 3c, "Convicted" includes, but is not limited to, having been found guilty by verdict of a judge or jury, having entered a plea of guilty or nolo contendere or no contest, or having been given probation, a suspended sentence, or a fine.			
	If you answer "YES" to any of these questions, you must attach to this application:		
	<ul style="list-style-type: none"> a) a written statement identifying all parties involved (including their percentage of ownership, if any) and explaining the circumstances of each incident, b) a copy of the charging document, c) a copy of the official document, which demonstrates the resolution of the charges or any final judgment. 		
4.	<p>Has the business entity or any owner, partner, officer or director of the business entity, or manager or member of a limited liability company, ever been named or involved as a party in an administrative proceeding, including a FINRA sanction or arbitration proceeding regarding any professional or occupational license, or registration?</p> <p>Involved means having a license censured, suspended, revoked, canceled, terminated; or, being assessed a fine, a cease and desist order, a prohibition order, a compliance order, placed on probation, sanctioned or surrendering a license to resolve an administrative action. "Involved" also means being named as a party to an administrative or arbitration proceeding, which is related to a professional or occupational license or registration. "Involved" also means having a license application denied or the act of withdrawing an application to avoid a denial. You may EXCLUDE terminations due solely to noncompliance with continuing education requirements or failure to pay a renewal fee.</p> <p>If you answer "YES", you must attach to this application:</p> <ul style="list-style-type: none"> a) a written statement identifying the type of license, all parties involved (including their percentage of ownership, if any) and explaining the circumstances of each incident, b) a copy of the Notice of Hearing or other document that states the charges and allegations, and c) a copy of the official document which demonstrates the resolution of the charges or any final judgment. 		N
5.	<p>Has any demand been made or judgment rendered against the business entity or any owner, partner, officer or director of the business entity, or member or manager of a limited liability company, for overdue monies by an insurer, insured or producer, or have you ever been subject to a bankruptcy proceeding? Do not include personal bankruptcies, unless they involve funds held on behalf of others.</p> <p>If you answer "YES", submit a statement summarizing the details of the indebtedness and arrangements for repayment.</p>		N
6.	<p>Has the business entity or any owner, partner, officer or director of the business entity, or member or manager of a limited liability company, ever been notified by any jurisdiction to which you are applying of any delinquent tax obligation that is not the subject of a repayment agreement?</p> <p>If you answer "YES", identify the jurisdiction(s):</p>		N
7.	<p>Is the business entity or any owner, partner, officer or director of the business entity, or member or manager of a limited liability company, a party to, or ever been found liable in any lawsuit or arbitration proceeding involving allegations of fraud, misappropriation or conversion of funds, misrepresentation or breach of fiduciary duty?</p> <p>If you answer "YES", you must attach to this application:</p> <ul style="list-style-type: none"> a) a written statement summarizing the details of each incident, b) a copy of the Petition, Complaint or other document that commenced the lawsuit arbitrations, or mediation proceedings and c) a copy of the official documents which demonstrates the resolution of the charges or any final judgment. 		N
8.	<p>Has the business entity or any owner, partner, officer or director of the business entity, or member or manager of a limited liability company ever had an insurance agency contract or any other business relationship with an insurance company terminated for any alleged misconduct?</p> <p>If you answer "YES", you must attach to this application:</p> <ul style="list-style-type: none"> a) a written statement summarizing the details of each incident and explaining why you feel this incident should not prevent you from receiving an insurance license, and b) copies of all relevant documents. 		N

Certification:

I have read this application and certify that the answers and information herein are true and correct to the best of my knowledge.

DocuSigned by:
 Signature: Uriel Alharony
2B36DD65011E424

Title: Principal

Date: 6/11/2021