



Financial Regulation Division - Company Licensing and Registration (103-CL)
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CONTINUING CARE RETIREMENT COMMUNITY (CCRC) BIOGRAPHICAL DATA FORM
For Board Member of Not-For-Profit CCRC
CCRC Form #4a

NOTE: This form is for any person serving as a Board Member for a not-for-profit Continuing Care Retirement Community who receives no compensation for his or her service on the Board (other than reimbursement for actual expenses in attending Board meetings), who has no financial interest in the CCRC, and who has no other financial interests that could be construed as a conflict of interest, or who does not own shares of stock nor have a spouse which owns shares of stock in the CCRC.

Full Name and Address of Continuing Care Retirement Community (CCRC):
(Do Not Use Group Names)

Two horizontal lines for entering the full name and address of the CCRC.

ATTACH ADDENDUM OR SEPARATE SHEET IF SPACE HEREON IS INSUFFICIENT TO ANSWER ANY QUESTION FULLY. IF ANSWER IS "NONE" OR "NOT APPLICABLE," SO STATE. EACH QUESTION MUST BE ANSWERED AS INDICATED AND ORIGINAL SIGNATURES ARE REQUIRED.

1. Full Legal Name: _____
Residence Address: _____
Business Address: _____
Marital Status: _____

2. Have you ever had your name changed? _____
Reason for change: _____
Other names used at any time: _____

3. Date of Birth: _____ Place of Birth: _____

4. Present or Proposed Position with Applicant: _____
How long with this CCRC? _____

5. Complete Employment Record for past 5 years: include jobs, positions, consulting contracts, directorates or officerships: _____

6. Have you or your spouse ever been associated with any other CCRC or insurance company? _____ If so, please explain in detail. _____

7. Have you ever been indicted or convicted for embezzlement, theft or larceny, mail fraud, or for any other criminal offense, or for violating any corporate securities statute or any insurance law, or have you been the subject of a cease and desist order of any federal or state securities regulatory agency? _____ If so, please explain in full detail. _____

8. Have you ever been in any way connected with, or financially interested in, any CCRC or insurance company which became insolvent or was placed under supervision or in receivership or conservatorship while you were affiliated with it or at any time thereafter? _____ If so, please explain in detail.

9. Have you or your spouse ever had a license to sell securities or real estate? _____ If so, where and when? _____ Has such a license ever been suspended, denied, cancelled or revoked? _____ If so, please explain in detail. _____

10. Have you ever been connected in any way with a CCRC or insurance company which was placed under a Show Cause or was cited for any violations by any State Insurance Department? _____ If so, furnish details, including name and location of the company and the charges. _____

11. Have you ever been connected in any way with any sole proprietorship, partnership, corporation or other entity which has been cited for violations or was subject to disciplinary action by any state or federal regulatory body? _____ If so, furnish details. _____

12. Are you now, or have you been, within the past five years, a plaintiff or defendant in any lawsuit?____ If so, please furnish details. _____

I FULLY UNDERSTAND THAT THE INFORMATION HEREINBEFORE FURNISHED IN SUBJECT TO THE PENALTIES PROVIDED BY ARTICLE 21.47 OF THE TEXAS INSURANCE CODE.

Dated _____

(Signature)

NOTICE ABOUT CERTAIN INFORMATION LAWS AND PRACTICES

With few exceptions, you are entitled to be informed about the information that the Texas Department of Insurance (TDI) collects about you. Under sections 552.021 and 552.023 of the Texas Government Code, you have a right to review or receive copies of information about yourself, including private information. However, TDI may withhold information for reasons other than to protect your right to privacy. Under section 559.004 of the Texas Government Code, you are entitled to request that TDI correct information that TDI has about you that is incorrect. For more information about the procedure and costs for obtaining information from TDI or about the procedure for correcting information kept by TDI, please contact the Agency Counsel Section of TDI’s General Counsel Division at (512) 676-6551 or visit the Corrections Procedure section of TDI’s website at www.tdi.texas.gov.