



CONTINUING CARE RETIREMENT COMMUNITY (CCRC) BIOGRAPHICAL DATA FORM
CCRC Form #4

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. Social Security Number\*: \_\_\_\_\_

5. Education: (List names of schools, locations and dates attended)
High School \_\_\_\_\_
College \_\_\_\_\_
Graduate or Professional Degrees: (List) \_\_\_\_\_

6. Member of Professional Societies or Associations: (List) \_\_\_\_\_

7. Present or Proposed Position with Applicant: \_\_\_\_\_  
\_\_\_\_\_
How long with this CCRC? \_\_\_\_\_

8. Complete Employment Record for Past 20 years: include jobs, positions, directorates or officerships.  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Present employer may be contacted YES NO

Former employers may be contacted YES NO

9. How many shares of stock do you or your spouse own in the CCRC? \_\_\_\_\_ Are any such shares pledged as collateral? \_\_\_\_\_ If so, to whom? \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

10. Do you or your spouse own stock of 10% or more interest in any sole proprietorship, partnership, or corporation? \_\_\_\_\_ If so, list the name of the company or companies and the percentage of the total number of shares owned in each: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

11. Are there any transactions anticipated between any sole proprietorship, partnership or corporation and the CCRC in which you may have a 10% interest? \_\_\_\_\_ If "Yes", briefly describe the transaction. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

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

13. Have you or your spouse ever been adjudicated as bankrupt? \_\_\_\_\_ If so, please explain in detail.

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14. 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. \_\_\_\_\_

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15. Have you ever been refused a professional, occupational or vocational license by any public or governmental licensing agency or regulatory authority, or has such a license ever been suspended or revoked? \_\_\_\_\_ If so, explain in full detail. \_\_\_\_\_

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16. 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.

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17. Have you or your spouse ever been licensed as an insurance agent? \_\_\_\_\_ If so, where and when? \_\_\_\_\_

18. 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. \_\_\_\_\_

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19. Have you ever been in a position which required a fidelity bond? \_\_\_\_\_ What position? \_\_\_\_\_ Were any claims made on the bond? \_\_\_\_\_ If so, please furnish details. \_\_\_\_\_

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20. Have you ever been denied an individual or position schedule fidelity bond, or had a bond cancelled or revoked? \_\_\_\_\_ If so, please explain in detail. \_\_\_\_\_

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21. 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. \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

22. 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. \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

23. 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)

*\*Refer to P.L. 93-579, Disclosure of Social Security Account Number.*

**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](http://www.tdi.texas.gov).*