



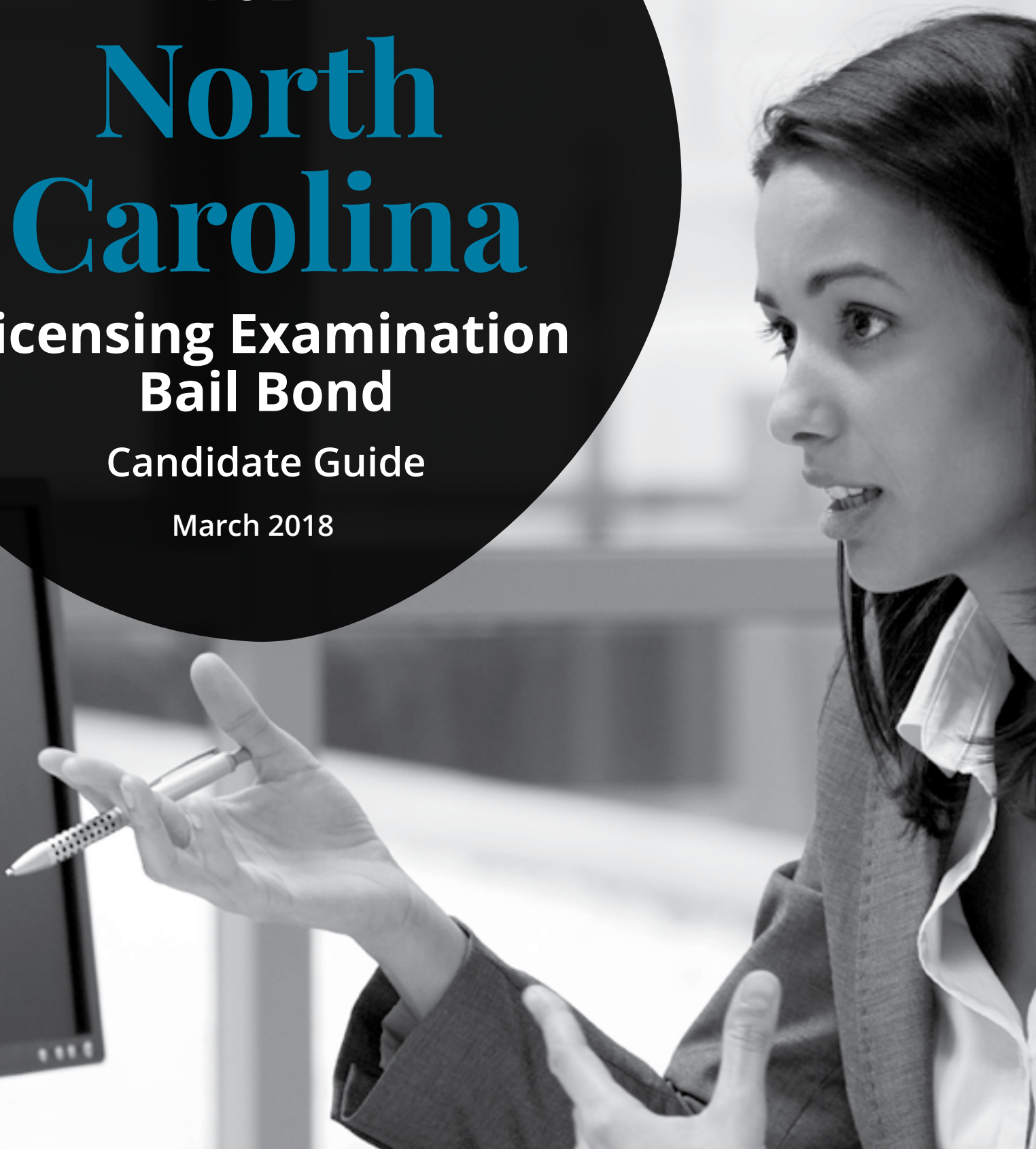
Pearson
VUE

North Carolina

**Licensing Examination
Bail Bond**

Candidate Guide

March 2018





Dear License Applicant,

I want to personally congratulate you on your decision to consider bail bonding as a viable career option. You are to be commended for entering into a rewarding career that plays an important role in our criminal justice system.

In North Carolina, bail bondsmen and runners must meet certain standards to qualify for a bail bondsman or runner's license. To help you meet those standards, we have developed an education program that offers each applicant a foundation in bail bond rules and regulations.

We also require that you pass a licensing exam that demonstrates what you've learned about the bail bond industry. We hope you will find the Bail Bond Regulatory Division (BBRD) of NCDOT and/or the North Carolina Licensing Office of Pearson VUE very helpful to you as you pursue your quest to engage in bail bond work. The professionals in BBRD and at the North Carolina Licensing Office of Pearson VUE are extremely knowledgeable about the licensing process and will assist you as you acquire and renew your bail bond license(s).

We wish you the best in your new career!

A handwritten signature in dark ink, appearing to read "Mike Causey". The signature is fluid and cursive, with a long, sweeping underline.

Mike Causey

NC Insurance Commissioner

HOW TO OBTAIN A NORTH CAROLINA BAIL BOND LICENSE CHECKLIST



1. Licensing requirements and reasons for which an application may be denied are provided on pages 2-5 of the Candidate Guide.

2. All license candidates who do not hold an active bail bond license, must complete a Pre-Licensing Education (PLE) course prior to applying for a bail bond license. Information regarding PLE providers is available on the NCDOL website, www.ncdoi.com.



3. All applicants for a new Bail Bond Agent License must complete an electronic application on Pearson VUE's Credential Management System.

Log in to <https://i7lp.integral7.com/ncdoi>.

a. License/fingerprint/processing fees may be paid by credit or debit card, or if you select to submit your fees by check or money order, you will be provided instructions for submitting the payment.

b. "Yes" answers require supporting documentation. You may upload or send via UPS 2nd Day, Fax or Email to the North Carolina Licensing Office of Pearson VUE. Failing to provide the supporting documents will result in the delay of the review of your application.

c. Certain questions will require the completion of affidavits. Upon completing required affidavits, you may upload or send via UPS 2nd Day, Fax or Email to the North Carolina Licensing Office of Pearson VUE.



4. All bail bond license candidates are required to have a fingerprint background check performed.

a. You will be required to print the fingerprint package/forms from the link in the email message sent to you by the North Carolina Licensing Management System.

i. Demographic information (page 1)

ii. SBI Electronic Fingerprint Submission Release of Information (page 2)

iii. Applicant information (page 3)

b. The fingerprint forms should be completed and taken to a local law enforcement office that does Live Scan electronic fingerprints. *Electronic prints are mandatory and fingerprint cards will be returned.*

c. After the fingerprints are taken, the law enforcement office will sign the SBI Electronic Fingerprint Submission Release of Information form and return to you. You must either upload that document to your license application record by going to <https://i7lp.integral7.com/ncdoi> and logging into your application or you may send the form to the North Carolina Licensing Office of Pearson VUE by UPS 2nd Day, Fax or Email. (NOTE: you must include pages 1-3).

d. The Live Scan fingerprints are sent electronically to the SBI for a state and national criminal record check. The results of the background check will be sent by UPS 2nd Day from SBI to the North Carolina Licensing Office of Pearson VUE. This process can take anywhere from seven business days to six weeks.



5. The North Carolina Licensing Office of Pearson VUE must receive the following:

a. The North Carolina Licensing Management System application, fees, and all supporting documentation (required for all).

b. Completed fingerprint packet (see #4);

c. SBI/FBI criminal history report (see #4 d.).

d. All documents required with "YES" responses to screening questions.



6. Once the North Carolina Licensing Office of Pearson VUE has received all items listed in 5. the application will be forwarded to the NDCOI for review.

7. North Carolina Department of Insurance Examination Authorization Letter will be sent to you by the North Carolina Licensing Office of Pearson VUE on behalf of the NCDOL. **It will be sent to the email address on your application.** You must **print and** take this Authorization Letter to the Test Center on the day of your scheduled examination. If you do not have that letter, or if it is over 30 days old, you will not be allowed to test. The Authorization Letter will specify the following information:

- a. The type of license for which you are applying (Runner, Surety or Professional).
- b. Information on how to schedule your exam (through the Pearson VUE Call Center or through on-line registration) including your Pre-licensing Provider's School Code that is required at the time of registration.



8. Once you receive your Examination Authorization Letter, you may schedule your examination through the Pearson VUE Call Center or through on-line registration. You will pay the cost of the examination - \$40 at that time.

9. The Examination Authorization Letter expires **30 days** from the date of the letter. If for some reason, you are unable to schedule your exam within the 30 days, contact the NCDOL. Under certain circumstances, an extension could be arranged.



10. Upon passing your examination, Pearson VUE will print your full-faced, color photo license and mail it to you via UPS 2nd Day delivery (You should receive your license within 10-12 business days).

11. REMEMBER:

- a. If the education certificate expires prior to you submitting the application, you will be required to take a new course and submit proof of completion.
- b. The application will expire six months from the date of submission. If your application is incomplete after six months, it will be withdrawn and you will forfeit all fees submitted. A new application and new fees will be required.
- c. The fingerprint results are valid for only 90 days from the date they are taken. If the fingerprint results become invalid before your application is complete, you will be required to resubmit your fingerprint results and pay the \$38 criminal history background check fee.

DUPLICATE LICENSE PROCESS

On occasion a Bail Bond Agent will need to request a duplicate license. Please follow the process below to request a duplicate license:

1. **Log in to the North Carolina Licensing Management System**
at <https://i7lp.integral7.com/ncdoi>.

2. **Submit an application for a duplicate license (no fee required):**

- If you select the option to have a new photo taken, you will be required to contact the Pearson VUE Call Center or go on-line and schedule a reservation at the test center you would like to have the photo taken;
- If you do not select the option for a new photo, Pearson VUE will use the photo on file from your last examination to create the license.

Please note: If your license was issued prior to December 20, 2012 you must select the option to have a new photo taken.



3. **Once the duplicate license request is submitted and the photo selection is complete, Pearson VUE will print a full-faced photo license and mail to you using UPS 2nd Day. (You should receive your license within 10-12 business days.)**

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QUICK REFERENCE

STATE LICENSING INFORMATION

Candidates may contact the North Carolina Licensing Office of Pearson VUE with questions about obtaining or maintaining a license after the examination has been passed.

North Carolina Licensing Office of Pearson VUE

Physical Location

3128 Highwoods Blvd, Suite 260,
Raleigh, NC 27604

Mailing Address

NCDOL/Pearson VUE PO Box
14209 Raleigh, NC 27620

Phone

(866) 265-6329

Email

northcarolinalingensingoffice@pearson.com

Fax

(888) 959-3010

**For Licensing Status,
Continuing Education and Other
Information, visit the following
website: www.ncdoi.com.**

EXAMINATION INFORMATION

Candidates may contact Pearson VUE with questions about this guide or about an upcoming examination.

Pearson VUE North Carolina Insurance

Attn: Regulatory Program
5601 Green Valley Dr.
Bloomington, MN 55437

Phone

(800) 274-0668

Email

pearsonvuecustomerservice@pearson.com

Website

www.pearsonvue.com

CONTACT INFORMATION

Candidates may contact Pearson VUE with questions about this guide or about an upcoming examination.

Live Chat is available to address your support inquiries and is the quickest way to reach a customer service agent. It's available from 8:00 AM through 5:00 PM Central Time, Monday through Friday, subject to change during locally designated holidays.

Please visit www.pearsonvue.com/nc/bailbondsman/contact/ for further information.

Please note that Live Chat agents can only answer examination-related questions. Questions about obtaining a license should be directed to the North Carolina Licensing Office of Pearson VUE.

RESERVATIONS

Before making an examination reservation

CANDIDATES MUST VISIT <https://i7lp.integral7.com/ncdoi> to complete the license application and pay ALL associated licensing fees.

Candidates should thoroughly review this guide, which contains examination content outlines and important information regarding eligibility and the examination and licensing application process.

Making an examination reservation

Candidates cannot make the examination reservation until they receive an Examination Authorization Letter from the NCDOL. The Examination Authorization Letter will include the Pre-licensing Provider's School Code and you MUST provide that number, as well as your completion date, when making a reservation.

NOTE: Candidates are required to pass their examination within 30 days of the date of the Examination Authorization Letter. If the candidate does not pass the examination, he/she will be required to wait one (1) year to re-apply and begin the licensing process, again.

Candidates may make a reservation either online at www.pearsonvue.com/nc/bailbondsman/ or by calling (800)-274-0668. Candidates will be able to schedule 24 hours in advance of their desired test dates. Reservations are made on a first come, first serve basis, so it is always in the candidate's best interest to schedule as far in advance as possible. **Walk-in examinations are not available.**

Candidates may request special accommodations by going to <http://pearsonvue.com/accommodations>.

SCHEDULE & FEES

Test Center Locations

A list of test centers appears on the back cover of this guide. In addition, candidates may review the test center locations by going to <http://www.pearsonvue.com/vtclocator/>. If the candidate has questions regarding the confirmation of specific locations and/or examination schedules, please contact Pearson VUE.

Exam fees

The fee is \$40 for EACH examination attempt.

All exam fees must be paid at the time of reservation by credit/debit card, electronic check, or voucher. Payment will not be accepted at the test center. Examination fees are non-refundable and non-transferable, except as detailed in the *Change/Cancel Policy* (page 9).

Registration, License, and Criminal Record Check Fees

The fees for a new license application are as follows:

| LICENSE TYPE | TYPE OF FEE | AMOUNT OF FEE |
|---|---|---------------|
| Professional Bail Bondsman License | Professional Bail Bondsman Application | \$263.00 |
| | Professional Bail Bondsman Application Processing Fee | \$ 48.00 |
| | Total Fee Required at the time of application | \$311.00 |
| Surety Bail Bondsman License | Surety Bail Bondsman Application | \$263.00 |
| | Surety Bail Bondsman Application Processing Fee | \$ 48.00 |
| | Total Fee Required at the time of application | \$311.00 |
| Bail Bond Runner License | Bail Bond Runner Application | \$183.00 |
| | Bail Bond Runner Application Processing Fee | \$ 48.00 |
| | Total Fee Required at the time of application | \$231.00 |

NOTE: The examination fee of \$40 is in addition to these fees and is paid at the time of registration for the examination.

EXAM DAY

What to bring to the exam

Candidates should bring to the examination proper identification and other materials as dictated by the state licensing agency. A complete list appears in *What to Bring* (page 11).

Exam procedures

Candidates should report to the test center at least thirty (30) minutes before the examination begins to complete registration. The time allotted for the examination is two (2) hours, and each candidate will leave the test center with an official score report in hand.

SSN/LICENSE NUMBER (NPN)

When you pursue licensure in North Carolina, you must complete an electronic application via <https://i7lp.integral7.com/ncdoi> which requires your Social Security Number (SSN). Please be advised that an individual Taxpayer Identification Number (ITIN) cannot be accepted as your SSN. You must have a valid SSN which was issued through the Social Security Administration.

If you do not have a valid SSN, you will be prevented from completing the license examination as you must enter a valid SSN to complete the examination. The National Insurance Producer Registry (NIPR) must have a valid SSN in order to assign a National Producer Number (NPN). To combat identity theft, the NPN is used for license identification. NIPR cannot accommodate any request for an NPN if the unique identifier provided is not a SSN issued by the Social Security Administration.

NORTH CAROLINA BAIL BOND LICENSES

There are three bail bond licenses for which an individual may apply. You may hold more than one license based on your qualifications.

SURETY BAIL BONDSMAN

A Surety Bail Bondsman is appointed by an insurer by power of attorney to execute or countersign bail bonds for the insurer in connection with judicial proceedings and receives consideration for writing the bail bonds.

PROFESSIONAL BAIL BONDSMAN – *Additional requirements for all Bail Bond Applicants**

A Professional Bail Bondsman pledges cash or approved securities with the Commissioner as security for bail bonds written in connection with judicial proceeding and receives a bail bond premium in exchange for writing the bail bonds.

BAIL BOND RUNNER

A Bail Bond Runner is employed by a Professional Bail Bondsman for the purpose of assisting the bondsman in presenting the defendant in court when required, assisting in the apprehension and surrender of the defendant to court, keeping the defendant under necessary surveillance, or executing bonds on behalf of the licensing bondsman when the power of attorney has been duly recorded.

NORTH CAROLINA LICENSING REQUIREMENTS

TO BE LICENSED AS A RESIDENT BAIL BONDSMAN/RUNNER

You must meet the following minimum qualifications in accordance with North Carolina General Statute §58-71-50:

1. You must be a resident of the State of North Carolina for at least six (6) consecutive months before making application for a bail bondsman and/or bail bond runner license.
2. You must be at least 21 years of age.
3. Have obtained a high school diploma or its equivalent
4. Have knowledge, training, or experience of sufficient duration and extent to provide the competence necessary to fulfill the responsibilities of a licensee.
5. Have no outstanding bail bond obligations.
6. Have no current or prior violations of Article 71 of Chapter 58 of the North Carolina General Statutes or of Article 26 of Chapter 15A of the North Carolina General Statutes.
7. Not have been in any manner disqualified under North Carolina law or any other state to engage in the bail bond business.
8. Hold a valid and current North Carolina driver's license or valid North Carolina identification card issued by the Division of Motor Vehicles.

*** ADDITIONAL REQUIREMENTS FOR ALL BAIL BOND APPLICANTS:**

- A professional bail bondsman applicant must have completed the one year supervision period requirement for new licensees pursuant to North Carolina General Statute 58-71-41(a).
- If a first-year licensee is unable to become employed by or contract with a new supervising bail bondsman, the first-year licensee must submit to the Department a sworn affidavit stating the relevant facts and circumstances regarding the first-year licensee's inability to find a new supervisor. The Department will review the affidavit and determine whether the first-year licensee bail bondsman will be allowed to operate as an unsupervised bail bondsman.
- Upon successful completion of the professional bail bond exam, a security deposit must be established by the applicant in a US bank authorized by the Commissioner to hold the security in an amount no less than fifteen thousand dollars (\$15,000) prior to the Professional Bondsman license issuance. (see back of this guide). The professional bail bond license will be mailed by the Department once the custodial bank confirms the deposit. If the required fifteen thousand dollar (\$15,000) security deposit with the custodial bank is not completed within six months of the examination date, the professional bail bondsman applicant's application will be withdrawn for failure to complete license requirements.

PERSONS PROHIBITED FROM BEING LICENSED AS A BAIL BONDSMAN AND/OR BAIL BOND RUNNER

Pursuant to North Carolina General Statute §NCGS 58-71-105, the following do not meet the licensing qualifications:

- Sheriff, deputy sheriff, other law enforcement officer, judicial official, attorney, parole officer, probation officer, jailer, assistance jailer, employee of the General Court of Justice, nor any other public employee assigned to duties relating to the administration of the criminal justice, nor the spouse of any such person.

Pursuant to North Carolina General Statute §NCGS 58-71-80 (b), the following **does not** meet the licensing qualifications:

- **A person who is or has ever been convicted of a felony.**

Pursuant to North Carolina General Statute §NCGS 58-71-80 (b2), the following **does not** meet the licensing qualifications:

- A person who has been convicted of a misdemeanor drug violation within the previous 24 months of the date of the application for the license.

REASONS A BAIL BOND LICENSE MAY BE DENIED

Pursuant to North Carolina General Statute §58-71-80, a bail bond license may be denied for any of the following reasons:

§ 58-71-80 Grounds for denial, suspension, revocation or refusal to renew licenses.

- (a) The Commissioner may deny, place on probation, suspend, revoke, or refuse to renew any license issued under this Article, in accordance with the provisions of Article 3A of Chapter 150B of the General Statutes, for any one or more of the following causes:
 - (1) For any cause sufficient to deny, suspend, or revoke the license under any other provision of this Article.
 - (2) A conviction of any misdemeanor committed in the course of dealings under the license issued by the Commissioner.
 - (3) Material misstatement, misrepresentation or fraud in obtaining the license.
 - (4) Misappropriation, conversion or unlawful withholding of moneys belonging to insurers or others and received in the conduct of business under the license.
 - (5) Fraudulent, coercive, or dishonest practices in the conduct of business or demonstrating incompetence, untrustworthiness, or financial irresponsibility in the conduct of business in this State or any other jurisdiction.
 - (6) Conviction of a crime involving dishonesty, breach of trust, or moral turpitude.
 - (7) Failure to comply with or violation of the provisions of this Article or of any order, subpoena, rule or regulation of the Commissioner or person with similar regulatory authority in another jurisdiction.
 - (8) When in the judgment of the Commissioner, the licensee has in the conduct of the licensee's affairs under the license, demonstrated incompetency, financial irresponsibility, or untrustworthiness; or that the licensee is no longer in good faith carrying on the bail bond business; or that the licensee is guilty of rebating, or offering to rebate, or offering to divide the premiums received for the bond.
 - (9) For failing to pay any judgment or decree rendered on any forfeited undertaking in any court of competent jurisdiction.
 - (10) For charging or receiving, as premium or compensation for the making of any deposit or bail bond, any sum in excess of that permitted by this Article.
 - (11) For requiring, as a condition of executing a bail bond, that the principal agree to engage the services of a specified attorney.
 - (12) For cheating on an examination for a license under this Article.
 - (13) For entering into any business association or agreement with any person who is at that time found by the Commissioner to be in violation of any of the bail bond laws of this State, or who has been in any manner disqualified under the bail bond laws of this State or any other state, whereby the person has any direct or indirect financial interest in the bail bond business of the licensee or applicant.
 - (14) For knowingly aiding or abetting others to evade or violate the provisions of this Article.
 - (14a) Having any professional license denied, suspended, or revoked in this State or any other jurisdiction for causes substantially similar to those listed in this subsection.
 - (14b) Violation of (i) any law governing bail bonding or insurance in this State or any other jurisdiction or (ii) any rule of the Financial Industry Regulatory Authority (FINRA).
 - (14c) Failure to comply with an administrative order or court order imposing a child support obligation after entry of a final judgment or order finding the violation to have been willful.
 - (14d) Failure to pay State or federal income tax or any liens that result from such failure to comply with any administrative or court order directing payment of State income tax after entry of a final judgment or order.

- (14e) Forging another's name to any document related to a bail bond transaction.
- (15) Any cause for which issuance of the license could have been refused had it then existed and been known to the Commissioner at the time of issuance.
- (b) The Commissioner shall deny, revoke, or refuse to renew any license under this Article if the applicant or licensee is or has ever been convicted of a felony.
- (b1) The Commissioner shall revoke or refuse to renew any license under this Article if the licensee has been convicted on or after October 1, 2009, of a misdemeanor drug violation under Article 5 of Chapter 90 of the General Statutes.
- (b2) The Commissioner shall deny any license under this Article if the applicant has been convicted of a misdemeanor drug violation under Article 5 of Chapter 90 of the General Statutes within the previous 24 months of the date of the application for the license.
- (c) In the case of a first-year licensee whose employment or contract is terminated prior to the end of the 12-month supervisory period, the Commissioner may consider all information provided in writing by the supervising bail bondsman in determining whether sufficient cause exists to suspend, revoke, or refuse to renew the license or to warrant criminal prosecution of the first-year licensee. If the Commissioner determines there is not sufficient cause for adverse administrative action or criminal prosecution, the termination shall not be deemed an interruption and the period of time the licensee was employed by or contracted with the terminating supervising bail bondsman will be credited toward the licensee's completion of the required 12 months of supervision with a subsequent supervising bail bondsman.

NORTH CAROLINA BAIL BOND LICENSING INSTRUCTIONS

ELECTRONIC APPLICATION – BEFORE EXAM SCHEDULING

The North Carolina Department of Insurance requires that ALL applicants requiring an examination to obtain a Bail Bond license, complete an electronic application and pay the associated fees before they schedule an examination for a license authorization. Pearson VUE will provide detailed instructions as you proceed through the license application process on <https://i7lp.integral7.com/ncdoi>.

- Applicants are required to submit fingerprints for a criminal history background check and will receive a link to access instructions on how to proceed and print an Electronic Fingerprint Submission Release of Information form.
- Applicants who respond “YES” to one or more of the screening questions in the license application will need to submit additional documentation.
- For a **Surety Bondsman application**, you will need to obtain an appointment from a surety company (a current list of surety companies is posted on the NCDOI's website at www.ncdoi.com). If you were previously licensed as a Surety Bondsman, obtain and complete the required Affidavit for Appointment and list every insurer with whom you were formerly appointed. Send a copy to each former insurer and the North Carolina Licensing Office of Pearson VUE to attach to your online application.
- Bail Bond Runners must establish a relationship with a licensed Professional Bail Bond Agent. That relationship must be verified prior to the issuance of a license. Must obtain supervising bail bondsman's email address and submit it on the license application.
- Surety Bondsmen must establish a relationship with a licensed, qualified Surety Bondsman to be their supervising bail bondsman for the first year. That relationship must be verified prior to the issuance of a license. Must obtain supervising bail bondsman's email address and submit it on the license application.
- For a **Bail Bond Runner application**, candidates must obtain a power of attorney from a Professional Bail Bondsman and submit it to the North Carolina Licensing Office of Pearson VUE to attach to the on-line application.
- Register and complete a 12 hour Pre-licensing Education course. A list of approved Pre-licensing Education Providers is on the NCDOI website www.ncdoi.com. Contact the provider directly to schedule a course.

Required documents to complete the application:

- A. Submit the proper fee through <https://i7lp.integral7.com/ncdoi>.
- B. Using the link provided at the end of the application process, print out the Fingerprint Release and Electronic Fingerprint Applicant Information which must be completed and certified by a law enforcement officer. This form verifies that the

candidate's fingerprints have been submitted electronically by an authorized law enforcement officer. Please note: fingerprint cards will only be accepted following two (2) failed attempts to submit the electronic fingerprints. If your local Sheriff's Office cannot submit electronically, the following two locations do submit fingerprints electronically for licensing purposes:

Wake County City/County Bureau of Identification

Phone: 919-856-6300

Location: 3301 Hammond Road, Raleigh, NC 27603

Buncombe County City/County Bureau of Identification

Phone: 828-250-4661

Location: 20 Davidson Drive, Asheville, NC 28001

- C. Pre-licensing Education – All applicants that do not hold an active bail bond license are required to complete 12 hours of Pre-licensing Education (PLE) with an approved PLE Provider. Upon PLE course completion, the approved PLE Provider will issue a certificate of PLE completion and a copy of this certificate must be submitted with the application for a license.
- D. A copy of your current valid North Carolina drivers license or valid North Carolina identification card issued by the Division of Motor Vehicles which can be uploaded directly to the North Carolina Licensing Management System, or sent by US Mail, fax or email to the North Carolina Licensing Office of Pearson VUE.
- E. At least **two (2)** of the following documents:
- A pay stub showing your residential address in North Carolina;
 - A utility bill showing your residential address in North Carolina;
 - A receipt for personal property taxes or real property taxes paid by you to a North Carolina unit of local government showing your residential address in North Carolina;
 - A monthly or quarterly statement showing your residential address in North Carolina and issued by a financial institution for an account held by you.
- NOTE: These documents can be uploaded directly to the North Carolina Licensing Management System at the time of application or they can be sent by US Mail, fax or email to the North Carolina Licensing Office of Pearson VUE.
- F. All attachments related to any screening questions to which you may have responded "YES". A complete list of all screening questions is available in this Candidate Guide on page 8.
- NOTE: These documents can be uploaded directly to the North Carolina Licensing Management System at the time of application or they can be sent by US Mail, fax or email to the North Carolina Licensing Office of Pearson VUE.
- G. A copy of one of the following documents:
- High school diploma
 - General Educational Development (GED) certificate (certified copy)
 - High school transcript (certified copy)
- NOTE: If submitting a copy of the high school diploma this can be uploaded directly to the North Carolina Licensing Management System at the time of application. If submitting a certified copy of a GED or high school transcripts, these must be sent by US Mail, fax or email to the North Carolina Licensing Office of Pearson VUE.

LICENSE APPLICATION REVIEW

After the North Carolina Licensing Office of Pearson VUE has reviewed your completed application, a background investigation will be conducted. In order to conduct this state and national criminal record check, you are required to identify in the Name Affidavit section of the bail bond application your full legal name and ALL of the names and/or nicknames that you have been known by over the course of your lifetime. You will also be required to certify that you are one and the same person who is identified by each of the names or nicknames listed in the Name Affidavit:

If the review of the application and background investigation determines that you meet the qualifications for bail bond licensure, the North Carolina Licensing Office of Pearson VUE will send an Examination Authorization Letter to your address of record. The Examination Authorization Letter authorizes you to schedule the applicable bail bond examination with the Department's testing vendor Pearson VUE.

If the review of the application and background investigation determines that you do not meet the qualifications for bail bond licensure, the Agent Services Division will send a letter to your address of record and inform you of your application status.

SCREENING QUESTIONS

Each applicant is required to answer the following screening questions on the application. The applicant must read each question very carefully and answer every question truthfully. Pursuant to North Carolina General Statute §58-71-80(a)(3), the Commissioner may deny, suspend, revoke or refuse to renew any bail bond license for material misstatement, misrepresentation or fraud in obtaining the license.

1. ☐ Yes ☐ No Do you currently hold a valid bail bond license of any type?
If yes, please check and complete the following:
☐ Professional Bondsman
☐ Bail Bond Runner, employed by _____
☐ Surety Bondsman, name of insurance co. _____
2. ☐ Yes ☐ No Have you previously held a professional bail bondsman, bail bond runner or surety bondsman license?
If yes, please check and complete the following:
☐ Professional Bail Bondsman Dates Held _____
☐ Bail Bond Runner Dates Held _____ Employed by _____
☐ Surety Bondsman* Dates Held _____
**Surety bondsmen must attach to this application a notarized Affidavit for Appointment Form from every previous surety company.*
3. ☐ Yes ☐ No Have you ever been convicted, or are you currently charged with, committing a crime, whether or not adjudication was withheld?
If yes, attach (a) a written statement explaining the circumstances of each incident; (b) a copy of the charging document, and (c) a copy of the official document which demonstrates the resolution of the charges or any final judgment. A juvenile offense is an offense adjudicated through the juvenile justice system pursuant to Chapter 7B of the North Carolina General Statutes. Any offense adjudicated through the regular criminal justice system, where the defendant was tried and convicted as an adult, is not a juvenile offense and must be reported on this application, regardless of the age of the defendant at the time of conviction.
4. ☐ Yes ☐ No Have you ever had administrative action taken against a professional or occupational license or registration, including but not limited to the denial, suspension, or revocation of any license in this State or any other jurisdiction or by any other licensing organization?
If yes, attach details.
- 5a. ☐ Yes ☐ No Have you ever failed to pay State or Federal income tax or comply with any administrative or court order directing payment of State or Federal income tax after entry of a final judgment or order?
- 5b. ☐ Yes ☐ No Do you have any liens against you for failing to pay State or Federal income tax after entry of a final judgment or order?
6. ☐ Yes ☐ No Are you or your spouse a sheriff, deputy sheriff, other law enforcement officer, judicial official, attorney, parole officer, probation officer, jailer, assistant jailer, employee of the general court of justice or other public employee assigned to duties relating to the administration of criminal justice, have power of arrest, or have anything to do with Federal, State, County or Municipal prisoners?
If yes, clearly specify in attachment.
7. ☐ Yes ☐ No Do you individually and/or jointly have any civil judgments, or decrees or liens outstanding against you for any reason, including failing to pay State or Federal income tax, as of the date of this application?
8. ☐ Yes ☐ No Are you currently in a business association or agreement with a person who has been disqualified pursuant to NCGS 58-71-80(a)(13)?
If yes, attach explanation.
9. ☐ Yes ☐ No Do you have a child support obligation in arrears? If yes, attach details indicating (a) how many months you are in arrears, (b) the reason you are in arrears, and (c) a recent payment history.
10. ☐ Yes ☐ No Are you currently a party to, or have you been found liable in, any lawsuit or arbitration proceeding involving allegations of fraud, misappropriation or conversion of funds, or unlawful withholding of moneys belonging to insurers?
If yes, attach (a) a written statement summarizing the details of each incident, (b) a copy of the Petition, Complaint or other document that commenced the lawsuit or arbitration, and (c) a copy of the official document which demonstrates the resolution of the charges.
11. ☐ Yes ☐ No Has any demand been made or judgment rendered against you for overdue monies by an insurer or others received in the conduct of business?
If yes, attach explanation and supporting documents, including repayment agreement and proof of payments.

EXAMINATION AUTHORIZATION LETTER

If you **meet the qualifications** for bail bond licensure, you will receive an Examination Authorization Letter from the North Carolina Licensing Office of Pearson VUE. *The letter will be sent by email to the email address on your application.* This letter notifies you that you have been authorized to schedule an examination through the Department's testing vendor Pearson VUE. **THE EXAMINATION AUTHORIZATION LETTER EXPIRES 30 DAYS FROM THE LETTER DATE. A sample examination authorization letter is included in the back of this guide.**

Please contact Pearson VUE at (866) 936-7780 to make an examination reservation. Examination reservations may be made by phone Monday through Friday from 8:00 a.m. to 11:00 p.m., Saturday from 8:00 a.m. to 5:00 p.m., and on Sunday from 10:00 a.m. to 4:00 p.m. **NO RESERVATIONS CAN BE MADE PRIOR TO RECEIPT OF THE EXAMINATION AUTHORIZATION LETTER.**

The examination fee of \$40 must be paid at the time of reservation by credit card, debit card, or by electronic check. Payment will not be accepted at the test center.

EXAM RESERVATIONS

MAKING AN EXAMINATION RESERVATION

Candidates must make a reservation at least twenty-four (24) hours before the desired examination date. Reservations are made on a first come, first serve basis, so it is always in the candidate's best interest to schedule as far in advance as possible. **Walk-in examinations are not available.**

Before making a reservation, have available the following:

- Your Examination Authorization Letter which will indicate your PLE school code number
- Your full legal name, address, daytime telephone number, and date of birth
- The preferred examination date and test center location
(a list of test centers appear on the back cover of this Bail Bond Licensing Examination Candidate Guide)
- The name of the examination(s) you will be taking
- A pen or pencil to record information
- Your credit card, debit card, or voucher information

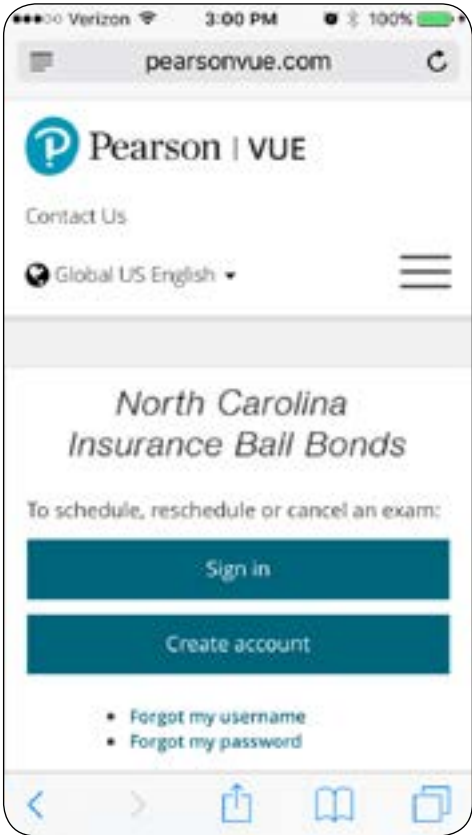
The exam fee of \$40 must be paid at time of reservation by credit card, debit card, voucher, or electronic check.

Online Reservations

Online reservations are the most efficient way for candidates to schedule their examination. The online interface is similar to the online systems employed by airlines, allowing candidates to quickly view all openings, change parameters, and find the most suitable appointment.

Candidates must go to www.pearsonvue.com/nc/bailbondsman/ to make an online reservation for an examination. First-time users are required to create an account. The candidate will need to fill in all required fields, which are preceded by an asterisk (*), on the online form in order to create an ID and be assigned a password. Step-by-step instructions will lead the candidate through the rest of the examination reservation process.

Our new website has been optimized to work on mobile devices such as phones and tablets as pictured below:



Phone Reservations

Candidates may call Pearson VUE at (866) 936-7780 to make a reservation.

| PEARSON VUE HOURS | |
|-------------------|------------------|
| Monday – Friday | 8 a.m. – 11 p.m. |
| Saturday | 8 a.m. – 5 p.m. |
| Sunday | 10 a.m. – 4 p.m. |

Eastern Standard Time

PEARSON VUE TEST CENTERS

A list of test centers appears on the last page of this Bail Bond Licensing Examination Candidate Guide.

ACCOMMODATIONS

Pearson VUE complies with the provisions of the Americans with Disabilities Act as amended. The purpose of accommodations is to provide candidates with full access to the test. Accommodations are not a guarantee of improved performance or test completion. Pearson VUE provides reasonable and appropriate accommodations to individuals with documented disabilities who demonstrate a need for accommodations.

Test accommodations may include things such as:

- A separate testing room
- Extra testing time
- A Reader or Recorder, for individuals with mobility or vision impairments and cannot read or write on their own

Test accommodations are individualized and considered on a case-by-case basis. All candidates who are requesting accommodations because of a disability must provide appropriate documentation of their condition and how it is expected to affect their ability to take the test under standard conditions. This may include:

- Supporting documentation from the professional who diagnosed the condition, including the credentials that qualify the professional to make this diagnosis
- A description of past accommodations the candidate has received

The steps to follow when requesting test accommodations vary, depending on your test program sponsor. To begin, go to <http://pearsonvue.com/accommodations>, and then select your test program sponsor from the alphabetized list. Candidates who have additional questions concerning test accommodations may contact the ADA Coordinator at accommodationspearsonvue@pearson.com.

English as a Second Language (ESL)

Candidates for whom English is a second language (ESL) may request additional time for the examination by sending *Special Accommodations Request Form* (found in the back of this Candidate Guide) to Pearson VUE. Candidates **MUST** include a letter from either his/her English instructor or sponsoring company (on official letterhead if from a company) stating that English is not the candidate's primary language.

Candidates should not attempt to make a reservation until after they have been notified by Pearson VUE via email that their request for additional time has been approved. The length of the special accommodation examination will be equal to 1½ times the length of the standard examination. For example, a 2 hour examination will be extended to 3 hours. NOTE: NO OTHER accommodations will be granted for ESL, i.e. separate testing room, reader, marker, etc. These accommodations are for individuals who qualify under the Americans with Disability Act (ADA) only.

Candidates who have additional questions about ESL examinations should contact the Special Examination Coordinator at (800) 466-0450.

Candidates should NOT attempt to make an examination reservation until after they have been notified by Pearson VUE that their request for additional time has been approved.

The approval of additional time will be for one (1) year from the date of the request for the level you have requested. Candidates who have additional questions about ESL examinations should contact the Special Examination Coordinator at (800) 466-0450.

Candidates who need to reschedule or need to retest should notify Pearson VUE Special Accommodations that special arrangements were used for the prior examination.

EXAM FEES

The examination fee of \$40 must be paid at the time of reservation by credit card, debit card, voucher, or by electronic check. Payment will not be accepted at the test center.

Candidates are responsible for the full amount of the examination fee once a reservation has been made, whether individually or by a third party. Candidates are responsible for knowing all regulations regarding fees and examination scheduling as presented here. Examination fees are non-refundable and non-transferable, except as detailed in the *Change/Cancel Policy*.

CHANGE/CANCEL POLICY

Candidates who wish to change or cancel their appointment must do so at least forty-eight (48) hours before the examination. Candidates who change or cancel a reservation with proper notice may either transfer the fee to a new reservation or request a refund.

Candidates who change or cancel a reservation without proper notice will forfeit the examination fee.

Candidates are individually liable for the full amount of the examination fee once a reservation has been made, whether individually or by a third party.

ABSENCE/LATENESS POLICY

If you are late to or absent from an examination, you may be excused for the following reasons:

- Illness—either yourself, or an immediate family member
- Death in the immediate family
- Disabling traffic accident
- Court appearance or jury duty
- Military duty
- Weather emergency

If you are otherwise absent from or late to an examination and have not changed or canceled the reservation according to the *Change/Cancel Policy* you will not be admitted to the examination and will forfeit the examination fee. Written verification and supporting documentation for excused absences must be submitted to Pearson VUE within fourteen (14) days of the original examination date.

RETAKEING AN EXAM

In accordance with North Carolina General Statute §58-71-70, an applicant who fails an examination may take a subsequent examination, but at least one year must intervene between examinations.

EXAMINATION DAY

WHAT TO BRING

Please read this section carefully. Candidates who do not present the required items will be denied admission to the examination, will be considered absent, and will forfeit the examination fee.

REQUIRED MATERIALS

Candidates who do not present the required items will be denied admission to the examination, will be considered absent, and will forfeit the examination fee.

Required Materials

All candidates are required to bring the following:

- Two forms of acceptable identification. The name on the identification must exactly match the name on the registration. Please refer to *Acceptable Forms of Candidate Identification* for additional details.
- The official North Carolina Department of Insurance Exam Authorization Letter indicating you are authorized to take a bail bond examination at a Pearson VUE test center. If you do not have that letter, or if it is over 30 days old, you will not be allowed to test.

Name Matching Guidelines

Candidates who present an identification with a name that differs from the name under which they are registered to test will not be admitted to test. Name changes and address changes are not allowed at the test center unless it is strictly a typo. All other changes must be done prior to examination appointments. Contact Pearson VUE immediately to correct the spelling of your name or update your personal information if you notice any errors. It is very important that this information is correct, as it will appear as it was entered on the documentation provided to you after you have completed the exam, as well as on any reports to your licensing agency.

Acceptable Forms of Candidate Identification

Candidates must present two (2) forms of current signature identification. The name on the identification must exactly match the name on the registration. The primary identification must be government issued and photo-bearing with a signature and the secondary identification must contain a valid signature. Identification must be in English.

Primary ID (photograph and signature, not expired)

- Government-issued driver's license
- U.S. Dept. of State driver's license
- U.S. learner's permit (plastic card only with photo and signature)
- National/state/country ID
- Passport
- Passport Card
- Military ID
- Military ID for spouses and dependents
- Alien Registration Card (Green Card, Permanent Resident Visa)

Secondary ID (signature, not expired)

- Debit (ATM) card or Credit card
- Any form of ID on the Primary ID list

If the ID presented has an embedded signature that is not visible (microchip), or is difficult or impossible to read, the candidate must present another form of identification from the Primary ID or Secondary ID list that contains a visible signature.

Pearson VUE does not recognize grace periods. For example, if a candidate's driver's license expired yesterday and the state allows a 30-day grace period for renewing the ID, the ID is considered to be expired.

EXAM PROCEDURES

Candidates should report to the test center thirty (30) minutes before the examination and check in with the test center administrator. The candidate's identification and other documentation will be reviewed and he or she will be photographed for the score report.

Candidates are required to review and sign a **Candidate Rules Agreement** form. If the **Candidate Rules Agreement** is not followed and/or cheating or tampering with the examination is suspected, the incident will be reported as such and the appropriate action will be taken. The examination fee will not be refunded, the exam may be determined invalid, and/or the state may take further action such as prohibiting candidates from retaking the examination and/or denying a license.

Candidates will have an opportunity to take a tutorial on the PC on which the examination will be administered. The time spent on this tutorial will not reduce the examination time. The examination administrators will answer questions, but candidates should be aware that the administrators are not familiar with the content of the examinations or with the state's licensing requirements. Examination administrators have been instructed not to advise candidates on requirements for licensure.

Once candidates are familiar with the examination unit, they may begin the examination. The examination begins the moment a candidate looks at the first question. Candidates will be given two (2) hours to complete the examination. The examination will end automatically after the examination time has expired, and candidates will leave the test center with their official scores in hand.

Palm Vein Recognition Technology

Candidates will be required to have their palm scanned using Palm Vein Recognition technology. Pearson VUE's company-owned sites are equipped with advanced palm vein recognition technology, which captures and recognizes the unique patterns in a candidate's palm veins using non-intrusive, near-infrared scanning technology.

New candidates are enrolled in the biometric system during their first test center admission; their identities are then automatically verified when candidates take and return from breaks, and again when they test in the future at any biometrically equipped location worldwide. Palm vein recognition is secure, privacy friendly, fast, highly accurate, and virtually impossible to forge, and has replaced digital fingerprinting to become the standard biometric technology for candidate identification.

PLEASE NOTE

If you choose not to have your palm scanned, you will not be permitted to take any breaks during the exam. If you choose to take a break, you will not be permitted back into the test center to complete your exam.

TEST CENTER POLICIES

The following policies are observed at each test center. **Candidates who violate any of these policies will not be permitted to finish the examination and will be dismissed from the test center, forfeiting the examination fee.**

- **No personal items are allowed in the testing room.** Personal items include but are not limited to cellular phones, hand-held computers or other electronic devices, pagers, watches, wallets, purses, firearms or other weapons, hats, bags, coats, books, and/or notes, pens, or pencils.
- **Candidates are permitted to use a simple function calculator.**
- Candidates must store all personal items in a secure area as indicated by the administrator, or return items to their vehicle. All electronic devices must be turned off before storing them in a locker. **The test center is not responsible for lost, stolen, or misplaced personal items.**
- Studying **is not** allowed in the test center. Visitors, children, family, or friends **are not** allowed in the test center.
- Dictionaries, books, papers (including scratch paper), and reference materials are not permitted in the examination room (unless permitted by the exam sponsor), and candidates are strongly urged not to bring such materials to the test center. Upon entering and being seated in the testing room, the test administrator will provide the candidate with materials to make notes or calculations and any other items specified by the exam sponsor. **The candidate may not write on these items before the exam begins or remove these items from the testing room.**

- Eating, drinking, chewing gum, smoking, and/or making noise that creates a disturbance for other candidates is prohibited during the exam.
- Break policies are established by the exam sponsor. Most sponsors allow unscheduled breaks. To request an unscheduled break, the candidate **must** raise his or her hand to get the administrator's attention. **The exam clock will not stop while the candidate is taking a break.**
- Candidates must leave the testing room for all breaks. However, candidates **are not permitted to leave the floor or building for any reason during this time, unless specified by the administrator and the exam sponsor.** If a candidate is discovered to have left the floor or building, he or she will not be permitted to proceed with the examination and may forfeit the exam fees.
- While taking a break, candidates are permitted to access personal items that are being stored during the exam only if necessary—for example, personal medication that must be taken at a specific time. **However, a candidate must receive permission from the administrator prior to accessing personal items that have been stored.** Candidates are **not** allowed access to other items, including but not limited to cellular phones, exam notes, and study guides, unless the exam sponsor specifically permits this.
- Any candidate discovered causing a disturbance of any kind or engaging in any kind of misconduct—giving or receiving help; using notes, books, or other aids; taking part in an act of impersonation; or removing examination materials or notes from the examination room—will be summarily dismissed from the examination and will be reported to the state licensing agency. Decisions regarding disciplinary measures are the responsibility of the state licensing agency.

EXAM SECURITY

Pearson VUE maintains examination administration and examination security standards designed to ensure that all candidates are given the same opportunity to demonstrate their abilities and to prevent some candidates from gaining an unfair advantage over others because of testing irregularities or misconduct. Pearson VUE routinely reviews irregularities and examination scores believed to be earned under unusual or nonstandard circumstances.

Pearson VUE maintains the right to question any examination score whose validity is in doubt because the score may have been obtained unfairly. Pearson VUE first undertakes a confidential review of the circumstances contributing to the questions about score validity. Then, if there is sufficient cause to question the score, Pearson VUE will refer the matter to the state licensing agency, which will make the final decision on whether or not to cancel the score.

The performance of all candidates is monitored and may be analyzed statistically for the purpose of detecting and verifying fraud. If it is determined that a score has questionable validity, the state licensing agency will be so notified and will determine whether the candidate's scores will be released.

EXAMINATION QUESTIONS

Please note that all examination questions, each form of the examination, and all other examination materials are copyrighted and the property of Pearson VUE. Consequently, any distribution of the examination content or materials through any form or reproduction or oral or written communication is strictly prohibited and punishable by law.

For security reasons, examination material is not available to candidates for review.

SCORE REPORTING

UNDERSTANDING THE SCORE REPORT

The North Carolina Department of Insurance establishes the passing score required for each examination, not Pearson VUE.

If you pass the examination, your score report indicates “pass” only; no numeric score is reported. For those candidates who fail the examination, a numeric score will be reported. Numeric scores on the examinations are “scaled scores”, not percentage scores or the number of questions answered correctly.

Candidates who fail an examination receive general diagnostic information relevant to each major content area of the examination. Diagnostic information is intended to help failing candidates identify their areas of strength and weakness in order to prepare for future examinations. Use the content outlines in this guide to interpret the diagnostic information on a failing score report. Examination scores are valid for a period of one year from the examination date.

Your examination results are confidential and are released only to you and your state licensing agency. To protect your privacy and to maintain the confidentiality of examination results, Pearson VUE does not give score information over the telephone.

Your state licensing agency has selected a passing score of 70 for the Bail Bond examination. Raw scores are converted into scaled scores that can range from a low of 0 to a high of 100. To avoid misuse of score information, numeric scores are only reported to failing candidates.

DUPLICATE SCORE REPORTS

Candidates may request a duplicate score report from Pearson VUE by completing the form in the back of this guide.

PREPARING FOR YOUR EXAM

EXAM STRUCTURE AND CONTENT

The examination is given in a multiple-choice format and consists of 100 questions that count toward your score. The blueprints from which the examinations have been constructed are the examination content outlines in this guide. The examination content outlines list the topics covered in each examination. Be sure that your program of study covers all the topics listed in these content outlines.

Scores on each examination are based on the number of questions answered correctly. Even if you are uncertain about the correct answer to a question, you may be able to eliminate one or more of the answer choices as incorrect. It is always better to guess at the correct answer than to not answer a question because there is no penalty for incorrect answers.

STUDY MANUALS/TRAINING COURSES

Study manuals and/or training courses for the bail bondsmen licensing examinations are not furnished or available at the North Carolina Department of Insurance or Pearson VUE. The North Carolina Department of Insurance and Pearson VUE neither recommends nor endorses any particular manual or course, nor can they provide information regarding costs or fees. You may also visit the North Carolina Division of Insurance at www.ncdoi.com to access the North Carolina Statutes and Administrative Code links.

SUCCESSFUL COMPLETION OF BAIL BOND LICENSING EXAMINATION

If you pass the examination and are approved for licensure as a Surety Bail Bondsman or a Bail Bond Runner, you will receive your applicable bail bond license within 10 to 12 business days from the examination date. All Surety Bail Bondsman and Bail Bond Runner licenses will be mailed via U.S. regular mail directly to the passing candidate by Pearson VUE.

If you pass the examination and are approved for licensure as a Professional Bail Bondsman, you must establish a security deposit in the bank authorized by the Commissioner (US Bank) to hold the security in an amount no less than fifteen thousand dollars (\$15,000) prior to the Professional Bail Bondsman license issuance. All Professional Bail Bond licenses will be mailed via U.S. regular mail directly to the Professional Bail Bondsman by the Department once the custodial bank confirms the deposit. If the required fifteen thousand dollar (\$15,000) security deposit with the custodial bank is not completed within six months of the examination date, the Professional Bail Bondsman applicant's application will be withdrawn for failure to complete license requirements.

You may check your licensure status on the "Individual Lookup for License Status" located on the Department website http://www.ncdoi.com/asd/asd_home.asp. If you have not received your license within the designated timeframe please call the Agent Services Division of the North Carolina Department of Insurance at 919-807-6800, Monday through Friday, 8:00 am to 5:00 pm.

Examination Content Outline – Effective: January 15, 2016

NORTH CAROLINA PROFESSIONAL BAIL BONDSMAN, SURETY BAIL BONDSMAN, AND BAIL BOND RUNNER EXAMINATION CONTENT OUTLINE (100 scored questions)

This examination will test topics listed on the following content outline and is composed of one-hundred (100) four-option, multiple choice questions.

I. POWERS AND DUTIES OF THE COMMISSIONER 5

Ref: G.S. 58-71-5, 82, 185, G.S. 58-2-69(b), 69(c), 70

- A. General Powers
- B. Examinations
- C. Hearings
- D. Penalties

II. LICENSING 10

Ref: G.S. 58-71-1, 15, 40, 41, 50, 65, 71, 75, 80-82, 105, 115, 160, 140, 141, 11 NCAC 13.0504

- A. Definitions
 - 1. Bail Bondsman
 - 2. Accommodation Bondsman
 - 3. Supervising Bail Bondsman
 - 4. Surety Bondsman
 - 5. Professional Bondsman
 - 6. Runner
 - 7. First Year Licensee
 - 8. Insurer
 - 9. Surety
 - 10. Resident
- B. Application/Examination
- C. License Requirements
- D. License Renewal
 - 1. Fees
 - 2. Continuing Education
 - 3. Process Timeline
- E. Electronic Bondsmen Registry
- F. Appointments/Affidavits

III. PROHIBITED PRACTICES 15

Ref: G.S. 58-71-80, 95, 105, 110

- A. Solicitation
- B. Impersonation of Law Enforcement Officer or Judicial Official
- C. Excessive Premiums/Collateral

IV. BAIL BOND PROCEDURES 18

Ref: G. S. 58-71-20, 25, 30, 40, 81, 140; G.S. 15A-26-540; 11 NCAC 13.0512, .0515

- A. General Duties
 - 1. Duty to Carry License
 - 2. Appearance Bond
 - 3. Appearance Bond Affidavit
 - 4. Registration of License and Powers of Attorney

- 5. Receipts for Premium and Collateral
- 6. Approval of Forms
- 7. Notice of Receivership

B. Arrests/Surrenders

- 1. Reasons for Surrender
- 2. Return of Premium after Surrender
- 3. Procedures for Surrender before/after Breach of Contract

V. FIDUCIARY RESPONSIBILITIES 25

Ref: G.S. 58-71-20, 35, 100, 145, 165, 167, 168, 175; 58-71-95; 11 NCAC 13.051, .0508, .0512, .0515

A. Premiums

B. Record Keeping

- 1. Monthly Reports
- 2. Daily Bond Registers
- 3. Premium Receipts
- 4. Collateral Receipts
- 5. Memorandum of Agreement
- 6. Maintenance of Records

C. Collateral

- 1. Penalties
- 2. Trust Accounts
- 3. Return of Collateral
- 4. Indemnity Agreements

D. Principal Bond Limits for Professional Bondsmen

- 1. Minimum Deposits
- 2. Maximum Liability

VI. FORFEITURES 18

Ref: G.S. 26-15A-544

A. Notice of Forfeiture

- 1. Standardized Form
- 2. Date Notice Given
- 3. Final Judgment Date

B. Motion to Set Aside

- 1. Seven Reasons for Filing a Motion to Set Aside
- 2. Certificate of Service
- 3. Filing of Motion
- 4. 20-Day Objection Period

C. Final Judgment of Forfeiture

- 1. Docketing and Enforcement of Final Judgment
- 2. Relief from Final Judgment

VII. BAIL BOND TERMINOLOGY 5

Ref: G.S. 58-71-1, 155; 15A-531, 534(h); Black's Law Dictionary, Dictionary of Insurance Terms

- A. Bail
- B. Bail Bonds
- C. Principal
- D. Obligor
- E. Collateral
- F. Power of Attorney
- G. Surety
- H. Premium
- I. Trust Account
- J. Cash Bond

| | |
|--|---|
| K. Final termination of liability | |
| VIII. NORTH CAROLINA STATUTES AND REGULATIONS PERTINENT TO BAIL BONDSMEN..... | 4 |
| <i>Ref: G.S. 58-2-69(b)(c); 58-71-50, 58-71-200, 51, 55, 75, 80;</i> | |
| <i>Chapter 150B</i> | |
| A. Access to Civil and Criminal Records | |
| B. Required notifications to Commissioner | |
| C. Reasons for license denial, suspension, revocation | |
| D. Administrative Procedure Act | |

AFFIDAVIT BY FORMER INSURER PURSUANT TO N.C. GEN. STAT. §58-71-141

TO: **NCDOI/PEARSON VUE**

Proposed appointing insurer

Surety Bondsman applying for appointment

The following Affidavit is given under oath.

Surety Bondsman_____ (hereafter "Surety Bondsman")
has provided an affidavit to the undersigned insurer (hereafter "Former Insurer") and to the
Department of Insurance stating that Surety Bondsman does not owe any premium or unsatisfied
judgment to any insurer and that Surety Bondsman agrees to discharge all outstanding forfeitures
and judgments on bonds previously written;

Surety Bondsman in the past had an appointment with the undersigned Former Insurer to write
bail bonds on its behalf, and the undersigned Former Insurer is responsible for any outstanding
bonds written on its behalf by Surety Bondsman;

This Notice is being provided to the persons or entities listed above within 30 days after the
undersigned Former Insurer received the affidavit from Surety Bondsman.

CHECK ONE OF THE FOLLOWING STATEMENTS

____ Surety Bondsman does not owe any premium or unsatisfied judgment to the undersigned
Former Insurer; **OR**

____ By reason of a bankruptcy discharge, Surety Bondsman does not owe any premium or
unsatisfied judgment to the undersigned Former Insurer.

This____ day of____, 20____.

full corporate name of Former Insurer

BY:_____

(print name)

(office held)

Subscribed and sworn to before me

this ____ day of _____, 20__.

Notary Public

My Commission Expires: _____

Send Completed Form to:

NCDOI/PEARSON VUE

PO Box 14209

Raleigh, NC 27620



North Carolina Department of Insurance
Agent Services
Collateral Deposit Accounts

Client Data Information Form

Please provide all information requested in the spaces provided. If you should have any questions regarding this form, please do not hesitate to call U.S. Bank Institutional Trust & Custody Group@ at 877-877-2143, option 1.

DATE:

US BANK ACCT #:

| | | | |
|------------------|--|-------------------|--|
| Account Name | | Social Security # | |
| Address 1 | | State of Domicile | |
| Address 2 | | Minimum Deposit | |
| Address 3 | | Birthday | |
| City, State, Zip | | | |

ACCOUNT CONTACT INFORMATION: *for all invoices, income, statements and mail from U.S. Bank*

Contact Name:

Contact Phone:

Contact Fax:

Contact E-Mail:

QUARTERLY INCOME DISTRIBUTION METHOD

(Please select method desired below)

- ☐ Transfer Income to Principal -(Income will be transferred from Inc to Prin quarterly)
- ☐ Physical check (Mailed to address above)no charge
- ☐ Wire (wire fee \$25)
- ☐ ACH payment (only regular checking or savings)

Complete block to the right for WIRES & ACH'S

Wire Instructions (need to complete 1,2,3,4)

ACH Direct Deposit ☐ checking ☐ savings
(need to complete 1,2,3)

1. Bank:

2. ABA#:

3. AC#:

4. FFC#

AUTHORIZED PERSONS

| NAME | TITLE | SIGNATURE |
|------|-------|-----------|
| | | |
| | | |
| | | |

The above persons, holding the offices and designations indicated, are authorized to give instructions on behalf of the company.

Notary Public or Authorized Official

Name: _____

Title: _____ **DATE:** _____

Request for Taxpayer Identification Number and Certification

Give Form to the
requester. Do not
send to the IRS.

Print or type
See Specific Instructions on page 2.

| | |
|--|---|
| 1 Name (as shown on your income tax return). Name is required on this line; do not leave this line blank. | |
| 2 Business name/disregarded entity name, if different from above | |
| 3 Check appropriate box for federal tax classification; check only one of the following seven boxes: <input type="checkbox"/> Individual/sole proprietor or single-member LLC <input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=partnership) ▶ _____ Note. For a single-member LLC that is disregarded, do not check LLC; check the appropriate box in the line above for the tax classification of the single-member owner. <input type="checkbox"/> Other (see instructions) ▶ _____ | 4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3): Exempt payee code (if any) _____ Exemption from FATCA reporting code (if any) _____ <i>(Applies to accounts maintained outside the U.S.)</i> |
| 5 Address (number, street, and apt. or suite no.) | Requester's name and address (optional) |
| 6 City, state, and ZIP code | |
| 7 List account number(s) here (optional) | |

Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN* on page 3.

Note. If the account is in more than one name, see the instructions for line 1 and the chart on page 4 for guidelines on whose number to enter.

| | | | | | | | | | |
|--------------------------------|--|--|--|---|--|--|--|---|--|
| Social security number | | | | | | | | | |
| | | | | - | | | | - | |
| or | | | | | | | | | |
| Employer identification number | | | | | | | | | |
| | | | | - | | | | | |

Part II Certification

Under penalties of perjury, I certify that:

- The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and
- I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and
- I am a U.S. citizen or other U.S. person (defined below); and
- The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions on page 3.

| | | |
|-----------|----------------------------|--------|
| Sign Here | Signature of U.S. person ▶ | Date ▶ |
|-----------|----------------------------|--------|

General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

Future developments. Information about developments affecting Form W-9 (such as legislation enacted after we release it) is at www.irs.gov/fw9.

Purpose of Form

An individual or entity (Form W-9 requester) who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) which may be your social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN), to report on an information return the amount paid to you, or other amount reportable on an information return. Examples of information returns include, but are not limited to, the following:

- Form 1099-INT (interest earned or paid)
- Form 1099-DIV (dividends, including those from stocks or mutual funds)
- Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)
- Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)
- Form 1099-S (proceeds from real estate transactions)
- Form 1099-K (merchant card and third party network transactions)

- Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)
- Form 1099-C (canceled debt)
- Form 1099-A (acquisition or abandonment of secured property)

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.

If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See What is backup withholding? on page 2.

By signing the filled-out form, you:

- Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
- Certify that you are not subject to backup withholding, or
- Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income, and
- Certify that FATCA code(s) entered on this form (if any) indicating that you are exempt from the FATCA reporting, is correct. See *What is FATCA reporting?* on page 2 for further information.

Note. If you are a U.S. person and a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

Definition of a U.S. person. For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien;
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States;
- An estate (other than a foreign estate); or
- A domestic trust (as defined in Regulations section 301.7701-7).

Special rules for partnerships. Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax under section 1446 on any foreign partners' share of effectively connected taxable income from such business. Further, in certain cases where a Form W-9 has not been received, the rules under section 1446 require a partnership to presume that a partner is a foreign person, and pay the section 1446 withholding tax. Therefore, if you are a U.S. person that is a partner in a partnership conducting a trade or business in the United States, provide Form W-9 to the partnership to establish your U.S. status and avoid section 1446 withholding on your share of partnership income.

In the cases below, the following person must give Form W-9 to the partnership for purposes of establishing its U.S. status and avoiding withholding on its allocable share of net income from the partnership conducting a trade or business in the United States:

- In the case of a disregarded entity with a U.S. owner, the U.S. owner of the disregarded entity and not the entity;
- In the case of a grantor trust with a U.S. grantor or other U.S. owner, generally, the U.S. grantor or other U.S. owner of the grantor trust and not the trust; and
- In the case of a U.S. trust (other than a grantor trust), the U.S. trust (other than a grantor trust) and not the beneficiaries of the trust.

Foreign person. If you are a foreign person or the U.S. branch of a foreign bank that has elected to be treated as a U.S. person, do not use Form W-9. Instead, use the appropriate Form W-8 or Form 8233 (see Publication 515, Withholding of Tax on Nonresident Aliens and Foreign Entities).

Nonresident alien who becomes a resident alien. Generally, only a nonresident alien individual may use the terms of a tax treaty to reduce or eliminate U.S. tax on certain types of income. However, most tax treaties contain a provision known as a "saving clause." Exceptions specified in the saving clause may permit an exemption from tax to continue for certain types of income even after the payee has otherwise become a U.S. resident alien for tax purposes.

If you are a U.S. resident alien who is relying on an exception contained in the saving clause of a tax treaty to claim an exemption from U.S. tax on certain types of income, you must attach a statement to Form W-9 that specifies the following five items:

1. The treaty country. Generally, this must be the same treaty under which you claimed exemption from tax as a nonresident alien.
2. The treaty article addressing the income.
3. The article number (or location) in the tax treaty that contains the saving clause and its exceptions.
4. The type and amount of income that qualifies for the exemption from tax.
5. Sufficient facts to justify the exemption from tax under the terms of the treaty article.

Example. Article 20 of the U.S.-China income tax treaty allows an exemption from tax for scholarship income received by a Chinese student temporarily present in the United States. Under U.S. law, this student will become a resident alien for tax purposes if his or her stay in the United States exceeds 5 calendar years. However, paragraph 2 of the first Protocol to the U.S.-China treaty (dated April 30, 1984) allows the provisions of Article 20 to continue to apply even after the Chinese student becomes a resident alien of the United States. A Chinese student who qualifies for this exception (under paragraph 2 of the first protocol) and is relying on this exception to claim an exemption from tax on his or her scholarship or fellowship income would attach to Form W-9 a statement that includes the information described above to support that exemption.

If you are a nonresident alien or a foreign entity, give the requester the appropriate completed Form W-8 or Form 8233.

Backup Withholding

What is backup withholding? Persons making certain payments to you must under certain conditions withhold and pay to the IRS 28% of such payments. This is called "backup withholding." Payments that may be subject to backup withholding include interest, tax-exempt interest, dividends, broker and barter exchange transactions, rents, royalties, nonemployee pay, payments made in settlement of payment card and third party network transactions, and certain payments from fishing boat operators. Real estate transactions are not subject to backup withholding.

You will not be subject to backup withholding on payments you receive if you give the requester your correct TIN, make the proper certifications, and report all your taxable interest and dividends on your tax return.

Payments you receive will be subject to backup withholding if:

1. You do not furnish your TIN to the requester,
2. You do not certify your TIN when required (see the Part II instructions on page 3 for details),

3. The IRS tells the requester that you furnished an incorrect TIN,

4. The IRS tells you that you are subject to backup withholding because you did not report all your interest and dividends on your tax return (for reportable interest and dividends only), or

5. You do not certify to the requester that you are not subject to backup withholding under 4 above (for reportable interest and dividend accounts opened after 1983 only).

Certain payees and payments are exempt from backup withholding. See *Exempt payee code* on page 3 and the separate Instructions for the Requester of Form W-9 for more information.

Also see *Special rules for partnerships* above.

What is FATCA reporting?

The Foreign Account Tax Compliance Act (FATCA) requires a participating foreign financial institution to report all United States account holders that are specified United States persons. Certain payees are exempt from FATCA reporting. See *Exemption from FATCA reporting code* on page 3 and the Instructions for the Requester of Form W-9 for more information.

Updating Your Information

You must provide updated information to any person to whom you claimed to be an exempt payee if you are no longer an exempt payee and anticipate receiving reportable payments in the future from this person. For example, you may need to provide updated information if you are a C corporation that elects to be an S corporation, or if you no longer are tax exempt. In addition, you must furnish a new Form W-9 if the name or TIN changes for the account; for example, if the grantor of a grantor trust dies.

Penalties

Failure to furnish TIN. If you fail to furnish your correct TIN to a requester, you are subject to a penalty of \$50 for each such failure unless your failure is due to reasonable cause and not to willful neglect.

Civil penalty for false information with respect to withholding. If you make a false statement with no reasonable basis that results in no backup withholding, you are subject to a \$500 penalty.

Criminal penalty for falsifying information. Willfully falsifying certifications or affirmations may subject you to criminal penalties including fines and/or imprisonment.

Misuse of TINs. If the requester discloses or uses TINs in violation of federal law, the requester may be subject to civil and criminal penalties.

Specific Instructions

Line 1

You must enter one of the following on this line; **do not** leave this line blank. The name should match the name on your tax return.

If this Form W-9 is for a joint account, list first, and then circle, the name of the person or entity whose number you entered in Part I of Form W-9.

a. **Individual.** Generally, enter the name shown on your tax return. If you have changed your last name without informing the Social Security Administration (SSA) of the name change, enter your first name, the last name as shown on your social security card, and your new last name.

Note. ITIN applicant: Enter your individual name as it was entered on your Form W-7 application, line 1a. This should also be the same as the name you entered on the Form 1040/1040A/1040EZ you filed with your application.

b. **Sole proprietor or single-member LLC.** Enter your individual name as shown on your 1040/1040A/1040EZ on line 1. You may enter your business, trade, or "doing business as" (DBA) name on line 2.

c. **Partnership, LLC that is not a single-member LLC, C Corporation, or S Corporation.** Enter the entity's name as shown on the entity's tax return on line 1 and any business, trade, or DBA name on line 2.

d. **Other entities.** Enter your name as shown on required U.S. federal tax documents on line 1. This name should match the name shown on the charter or other legal document creating the entity. You may enter any business, trade, or DBA name on line 2.

e. **Disregarded entity.** For U.S. federal tax purposes, an entity that is disregarded as an entity separate from its owner is treated as a "disregarded entity." See Regulations section 301.7701-2(c)(2)(iii). Enter the owner's name on line 1. The name of the entity entered on line 1 should never be a disregarded entity. The name on line 1 should be the name shown on the income tax return on which the income should be reported. For example, if a foreign LLC that is treated as a disregarded entity for U.S. federal tax purposes has a single owner that is a U.S. person, the U.S. owner's name is required to be provided on line 1. If the direct owner of the entity is also a disregarded entity, enter the first owner that is not disregarded for federal tax purposes. Enter the disregarded entity's name on line 2, "Business name/disregarded entity name." If the owner of the disregarded entity is a foreign person, the owner must complete an appropriate Form W-8 instead of a Form W-9. This is the case even if the foreign person has a U.S. TIN.

Line 2

If you have a business name, trade name, DBA name, or disregarded entity name, you may enter it on line 2.

Line 3

Check the appropriate box in line 3 for the U.S. federal tax classification of the person whose name is entered on line 1. Check only one box in line 3.

Limited Liability Company (LLC). If the name on line 1 is an LLC treated as a partnership for U.S. federal tax purposes, check the "Limited Liability Company" box and enter "P" in the space provided. If the LLC has filed Form 8832 or 2553 to be taxed as a corporation, check the "Limited Liability Company" box and in the space provided enter "C" for C corporation or "S" for S corporation. If it is a single-member LLC that is a disregarded entity, do not check the "Limited Liability Company" box; instead check the first box in line 3 "Individual/sole proprietor or single-member LLC."

Line 4, Exemptions

If you are exempt from backup withholding and/or FATCA reporting, enter in the appropriate space in line 4 any code(s) that may apply to you.

Exempt payee code.

- Generally, individuals (including sole proprietors) are not exempt from backup withholding.
- Except as provided below, corporations are exempt from backup withholding for certain payments, including interest and dividends.
- Corporations are not exempt from backup withholding for payments made in settlement of payment card or third party network transactions.
- Corporations are not exempt from backup withholding with respect to attorneys' fees or gross proceeds paid to attorneys, and corporations that provide medical or health care services are not exempt with respect to payments reportable on Form 1099-MISC.

The following codes identify payees that are exempt from backup withholding. Enter the appropriate code in the space in line 4.

1—An organization exempt from tax under section 501(a), any IRA, or a custodial account under section 403(b)(7) if the account satisfies the requirements of section 401(f)(2)

2—The United States or any of its agencies or instrumentalities

3—A state, the District of Columbia, a U.S. commonwealth or possession, or any of their political subdivisions or instrumentalities

4—A foreign government or any of its political subdivisions, agencies, or instrumentalities

5—A corporation

6—A dealer in securities or commodities required to register in the United States, the District of Columbia, or a U.S. commonwealth or possession

7—A futures commission merchant registered with the Commodity Futures Trading Commission

8—A real estate investment trust

9—An entity registered at all times during the tax year under the Investment Company Act of 1940

10—A common trust fund operated by a bank under section 584(a)

11—A financial institution

12—A middleman known in the investment community as a nominee or custodian

13—A trust exempt from tax under section 664 or described in section 4947

The following chart shows types of payments that may be exempt from backup withholding. The chart applies to the exempt payees listed above, 1 through 13.

| IF the payment is for . . . | THEN the payment is exempt for . . . |
|--|---|
| Interest and dividend payments | All exempt payees except for 7 |
| Broker transactions | Exempt payees 1 through 4 and 6 through 11 and all C corporations. S corporations must not enter an exempt payee code because they are exempt only for sales of noncovered securities acquired prior to 2012. |
| Barter exchange transactions and patronage dividends | Exempt payees 1 through 4 |
| Payments over \$600 required to be reported and direct sales over \$5,000 ¹ | Generally, exempt payees 1 through 5 ² |
| Payments made in settlement of payment card or third party network transactions | Exempt payees 1 through 4 |

¹ See Form 1099-MISC, Miscellaneous Income, and its instructions.

² However, the following payments made to a corporation and reportable on Form 1099-MISC are not exempt from backup withholding: medical and health care payments, attorneys' fees, gross proceeds paid to an attorney reportable under section 6045(f), and payments for services paid by a federal executive agency.

Exemption from FATCA reporting code. The following codes identify payees that are exempt from reporting under FATCA. These codes apply to persons submitting this form for accounts maintained outside of the United States by certain foreign financial institutions. Therefore, if you are only submitting this form for an account you hold in the United States, you may leave this field blank. Consult with the person requesting this form if you are uncertain if the financial institution is subject to these requirements. A requester may indicate that a code is not required by providing you with a Form W-9 with "Not Applicable" (or any similar indication) written or printed on the line for a FATCA exemption code.

A—An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37)

B—The United States or any of its agencies or instrumentalities

C—A state, the District of Columbia, a U.S. commonwealth or possession, or any of their political subdivisions or instrumentalities

D—A corporation the stock of which is regularly traded on one or more established securities markets, as described in Regulations section 1.1472-1(c)(1)(i)

E—A corporation that is a member of the same expanded affiliated group as a corporation described in Regulations section 1.1472-1(c)(1)(i)

F—A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state

G—A real estate investment trust

H—A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940

I—A common trust fund as defined in section 584(a)

J—A bank as defined in section 581

K—A broker

L—A trust exempt from tax under section 664 or described in section 4947(a)(1)

M—A tax exempt trust under a section 403(b) plan or section 457(g) plan

Note. You may wish to consult with the financial institution requesting this form to determine whether the FATCA code and/or exempt payee code should be completed.

Line 5

Enter your address (number, street, and apartment or suite number). This is where the requester of this Form W-9 will mail your information returns.

Line 6

Enter your city, state, and ZIP code.

Part I. Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. If you are a resident alien and you do not have and are not eligible to get an SSN, your TIN is your IRS individual taxpayer identification number (ITIN). Enter it in the social security number box. If you do not have an ITIN, see *How to get a TIN* below.

If you are a sole proprietor and you have an EIN, you may enter either your SSN or EIN. However, the IRS prefers that you use your SSN.

If you are a single-member LLC that is disregarded as an entity separate from its owner (see *Limited Liability Company (LLC)* on this page), enter the owner's SSN (or EIN, if the owner has one). Do not enter the disregarded entity's EIN. If the LLC is classified as a corporation or partnership, enter the entity's EIN.

Note. See the chart on page 4 for further clarification of name and TIN combinations.

How to get a TIN. If you do not have a TIN, apply for one immediately. To apply for an SSN, get Form SS-5, Application for a Social Security Card, from your local SSA office or get this form online at www.ssa.gov. You may also get this form by calling 1-800-772-1213. Use Form W-7, Application for IRS Individual Taxpayer Identification Number, to apply for an ITIN, or Form SS-4, Application for Employer Identification Number, to apply for an EIN. You can apply for an EIN online by accessing the IRS website at www.irs.gov/businesses and clicking on Employer Identification Number (EIN) under Starting a Business. You can get Forms W-7 and SS-4 from the IRS by visiting IRS.gov or by calling 1-800-TAX-FORM (1-800-829-3676).

If you are asked to complete Form W-9 but do not have a TIN, apply for a TIN and write "Applied For" in the space for the TIN, sign and date the form, and give it to the requester. For interest and dividend payments, and certain payments made with respect to readily tradable instruments, generally you will have 60 days to get a TIN and give it to the requester before you are subject to backup withholding on payments. The 60-day rule does not apply to other types of payments. You will be subject to backup withholding on all such payments until you provide your TIN to the requester.

Note. Entering "Applied For" means that you have already applied for a TIN or that you intend to apply for one soon.

Caution: A disregarded U.S. entity that has a foreign owner must use the appropriate Form W-8.

Part II. Certification

To establish to the withholding agent that you are a U.S. person, or resident alien, sign Form W-9. You may be requested to sign by the withholding agent even if items 1, 4, or 5 below indicate otherwise.

For a joint account, only the person whose TIN is shown in Part I should sign (when required). In the case of a disregarded entity, the person identified on line 1 must sign. Exempt payees, see *Exempt payee code* earlier.

Signature requirements. Complete the certification as indicated in items 1 through 5 below.

1. Interest, dividend, and barter exchange accounts opened before 1984 and broker accounts considered active during 1983. You must give your correct TIN, but you do not have to sign the certification.

2. Interest, dividend, broker, and barter exchange accounts opened after 1983 and broker accounts considered inactive during 1983. You must sign the certification or backup withholding will apply. If you are subject to backup withholding and you are merely providing your correct TIN to the requester, you must cross out item 2 in the certification before signing the form.

3. Real estate transactions. You must sign the certification. You may cross out item 2 of the certification.

4. Other payments. You must give your correct TIN, but you do not have to sign the certification unless you have been notified that you have previously given an incorrect TIN. "Other payments" include payments made in the course of the requester's trade or business for rents, royalties, goods (other than bills for merchandise), medical and health care services (including payments to corporations), payments to a nonemployee for services, payments made in settlement of payment card and third party network transactions, payments to certain fishing boat crew members and fishermen, and gross proceeds paid to attorneys (including payments to corporations).

5. Mortgage interest paid by you, acquisition or abandonment of secured property, cancellation of debt, qualified tuition program payments (under section 529), IRA, Coverdell ESA, Archer MSA or HSA contributions or distributions, and pension distributions. You must give your correct TIN, but you do not have to sign the certification.

What Name and Number To Give the Requester

| For this type of account: | Give name and SSN of: |
|---|---|
| 1. Individual | The individual |
| 2. Two or more individuals (joint account) | The actual owner of the account or, if combined funds, the first individual on the account ¹ |
| 3. Custodian account of a minor (Uniform Gift to Minors Act) | The minor ² |
| 4. a. The usual revocable savings trust (grantor is also trustee) b. So-called trust account that is not a legal or valid trust under state law | The grantor-trustee ¹ The actual owner ¹ |
| 5. Sole proprietorship or disregarded entity owned by an individual | The owner ³ |
| 6. Grantor trust filing under Optional Form 1099 Filing Method 1 (see Regulations section 1.671-4(b)(2)(i)(A)) | The grantor ⁴ |
| For this type of account: | Give name and EIN of: |
| 7. Disregarded entity not owned by an individual | The owner |
| 8. A valid trust, estate, or pension trust | Legal entity ⁴ |
| 9. Corporation or LLC electing corporate status on Form 8832 or Form 2553 | The corporation |
| 10. Association, club, religious, charitable, educational, or other tax-exempt organization | The organization |
| 11. Partnership or multi-member LLC | The partnership |
| 12. A broker or registered nominee | The broker or nominee |
| 13. Account with the Department of Agriculture in the name of a public entity (such as a state or local government, school district, or prison) that receives agricultural program payments | The public entity |
| 14. Grantor trust filing under the Form 1041 Filing Method or the Optional Form 1099 Filing Method 2 (see Regulations section 1.671-4(b)(2)(i)(B)) | The trust |

¹ List first and circle the name of the person whose number you furnish. If only one person on a joint account has an SSN, that person's number must be furnished.

² Circle the minor's name and furnish the minor's SSN.

³ You must show your individual name and you may also enter your business or DBA name on the "Business name/disregarded entity" name line. You may use either your SSN or EIN (if you have one), but the IRS encourages you to use your SSN.

⁴ List first and circle the name of the trust, estate, or pension trust. (Do not furnish the TIN of the personal representative or trustee unless the legal entity itself is not designated in the account title.) Also see *Special rules for partnerships* on page 2.

***Note.** Grantor also must provide a Form W-9 to trustee of trust.

Note. If no name is circled when more than one name is listed, the number will be considered to be that of the first name listed.

Secure Your Tax Records from Identity Theft

Identity theft occurs when someone uses your personal information such as your name, SSN, or other identifying information, without your permission, to commit fraud or other crimes. An identity thief may use your SSN to get a job or may file a tax return using your SSN to receive a refund.

To reduce your risk:

- Protect your SSN,
- Ensure your employer is protecting your SSN, and
- Be careful when choosing a tax preparer.

If your tax records are affected by identity theft and you receive a notice from the IRS, respond right away to the name and phone number printed on the IRS notice or letter.

If your tax records are not currently affected by identity theft but you think you are at risk due to a lost or stolen purse or wallet, questionable credit card activity or credit report, contact the IRS Identity Theft Hotline at 1-800-908-4490 or submit Form 14039.

For more information, see Publication 4535, Identity Theft Prevention and Victim Assistance.

Victims of identity theft who are experiencing economic harm or a system problem, or are seeking help in resolving tax problems that have not been resolved through normal channels, may be eligible for Taxpayer Advocate Service (TAS) assistance. You can reach TAS by calling the TAS toll-free case intake line at 1-877-777-4778 or TTY/TDD 1-800-829-4059.

Protect yourself from suspicious emails or phishing schemes. Phishing is the creation and use of email and websites designed to mimic legitimate business emails and websites. The most common act is sending an email to a user falsely claiming to be an established legitimate enterprise in an attempt to scam the user into surrendering private information that will be used for identity theft.

The IRS does not initiate contacts with taxpayers via emails. Also, the IRS does not request personal detailed information through email or ask taxpayers for the PIN numbers, passwords, or similar secret access information for their credit card, bank, or other financial accounts.

If you receive an unsolicited email claiming to be from the IRS, forward this message to phishing@irs.gov. You may also report misuse of the IRS name, logo, or other IRS property to the Treasury Inspector General for Tax Administration (TIGTA) at 1-800-366-4484. You can forward suspicious emails to the Federal Trade Commission at: spam@uce.gov or contact them at www.ftc.gov/idtheft or 1-877-IDTHEFT (1-877-438-4338).

Visit IRS.gov to learn more about identity theft and how to reduce your risk.

Privacy Act Notice

Section 6109 of the Internal Revenue Code requires you to provide your correct TIN to persons (including federal agencies) who are required to file information returns with the IRS to report interest, dividends, or certain other income paid to you; mortgage interest you paid; the acquisition or abandonment of secured property; the cancellation of debt; or contributions you made to an IRA, Archer MSA, or HSA. The person collecting this form uses the information on the form to file information returns with the IRS, reporting the above information. Routine uses of this information include giving it to the Department of Justice for civil and criminal litigation and to cities, states, the District of Columbia, and U.S. commonwealths and possessions for use in administering their laws. The information also may be disclosed to other countries under a treaty, to federal and state agencies to enforce civil and criminal laws, or to federal law enforcement and intelligence agencies to combat terrorism. You must provide your TIN whether or not you are required to file a tax return. Under section 3406, payers must generally withhold a percentage of taxable interest, dividend, and certain other payments to a payee who does not give a TIN to the payer. Certain penalties may also apply for providing false or fraudulent information.



North Carolina Department of Insurance
Collateral Deposit Accounts

Security Deposit Form

Complete this form and deliver to U.S. Bank Custodian for NC Department of Insurance prior to depositing funds
DO NOT DELIVER FUNDS UNTIL U.S. BANK VERIFIES THE DEPOSIT INSTRUCTIONS

Mail: US Bank, N.A.
Institutional Trust & Custody
Custodian for North Carolina Department of Insurance
SL-MO-T15C
St Louis Plaza, 7th & Washington
St Louis, MO 63101

Fax: 314.418.2520
E-Mail NCDOL.custodian@usbank.com
Contact: Kyle Rumph
Phone: 877-877-2143 option 1

US Bank Account Number: _____ **Account Name:** _____

Co. Contact/Telephone _____

Delivery Date: _____ **Amount of Deposit:** \$ _____

Type of Security (check one, complete the additional information, and deliver to US Bank):

| | | | |
|--|--|--|--|
| <input type="checkbox"/> Cash Wire <u>Note:</u> Funds received via wire will be invested in First American Treasury Obligation (I) Investors Shares C- 31846V419 Wire using following instructions: US Bank, N.A. ABA # 091000022 AC # 180121197263 BNF: Institutional Trust – St Louis For Further Credit To: <US Bank Account No.> | <input type="checkbox"/> Certified Check Mail to: U.S. Bank, NA. Institutional Trust & Custody Custodian for NC Department of Insurance SL-MO-T15C St Louis Plaza, 7 th & Washington St Louis, MO 63101 | | |
| <input type="checkbox"/> Federal Reserve Security Treasury Note/Bond Deliver using the following instructions: U.S. Bank/Trust/1050 ABA #042-000-013 Ref: <US Bank Account No.> | <input type="checkbox"/> DTC Eligible Security State & Municipal Bonds, Stocks, etc. Deliver using the following instructions: Participant ID #: 2803 Agent ID #: 93697 | | |
| For Federal Reserve securities or DTC Eligible securities, provide the information below: Security Name: _____ Issue Date: _____ Issue Rate: _____ Maturity Date: _____ CUSIP: _____ | | | |
| <input type="checkbox"/> Ineligible Security (Certificate of Deposit, Stock, etc.) <small>Any security registered in the name of the company will require a Corporate Resolution, completed Stock/Bond Power with appropriate signatures and medallion guarantees (available through banking institutions).</small> CDs must be registered as follows: “US Bank as Custodian for the NC Department of Insurance FBO <Company Name>” Tax ID 31-0841368 <table><tr><td>Mail to: U.S. Bank, NA. Institutional Trust & Custody Custodian for NC Department of Insurance SL-MO-T15C St Louis Plaza, 7th & Washington St Louis, MO 63101</td><td>Address for Interest Checks: U.S. Bank, N.A. Attn: CD Interest 1555 N. Riverside Drive, Suite 302 Milwaukee, WI 53212</td></tr></table> | | Mail to: U.S. Bank, NA. Institutional Trust & Custody Custodian for NC Department of Insurance SL-MO-T15C St Louis Plaza, 7 th & Washington St Louis, MO 63101 | Address for Interest Checks: U.S. Bank, N.A. Attn: CD Interest 1555 N. Riverside Drive, Suite 302 Milwaukee, WI 53212 |
| Mail to: U.S. Bank, NA. Institutional Trust & Custody Custodian for NC Department of Insurance SL-MO-T15C St Louis Plaza, 7 th & Washington St Louis, MO 63101 | Address for Interest Checks: U.S. Bank, N.A. Attn: CD Interest 1555 N. Riverside Drive, Suite 302 Milwaukee, WI 53212 | | |
| | | | |
| | | | |

Please note that certain securities require approval from the NC Department of Insurance. These requests will be forwarded to the Department for approval. If you have any questions regarding your security, please contact US Bank at the number above.

Authorized Signature

Printed

Date

DUPLICATE SCORE REQUEST FORM

Use this form to request that Pearson VUE send a duplicate copy of your score report to you.

You may request one free duplicate score report.

Please print or type all information on this form and either email or mail your request to Pearson VUE. It is strongly suggested that you email your request to pearsonvuecustomerservice@pearson.com; however if you are unable to email, please mail your request to:

Pearson VUE
NORTH CAROLINA Bail Bond
DUPLICATE SCORE Request
5601 Green Valley Drive
Bloomington, MN 55437

I hereby authorize Pearson VUE to send me at the email address below a duplicate of my score report from the bail bond examination.

| | |
|---------------|------|
| Signature | Date |
| Name | |
| Email Address | |

If you do not have a valid email address please include your physical mailing address below.

| | | |
|---------|-------|-----|
| Address | | |
| City | State | ZIP |

If the above information was different at the time you tested, please indicate original information below.

| | | |
|---------|-------|-----|
| Name | | |
| Address | | |
| City | State | ZIP |

| | |
|------------------------|------------|
| Exam Taken | Date Taken |
| Date of Birth | |
| Licensing Jurisdiction | |

ENGLISH AS A SECOND LANGUAGE (ESL) REQUEST FORM

***Note: Only candidates who require
additional examination time for ESL should use this form.***

Candidates for whom English is a second language (ESL) may request additional examination time. Candidates who wish to request additional time for ESL should fax this form to Pearson VUE at (610) 617-9397. Certain documentation must be faxed along with this form, as detailed on page 9 of the candidate guide.

All requests must first be approved by Pearson VUE. Candidates must wait for confirmation of the approval before scheduling an examination.

PLEASE PRINT CLEARLY

| | | |
|--|--|------|
| Date: | | |
| Last Name: | | |
| First Name: | M.I.: | |
| Address: | | |
| City: | State: | Zip: |
| Daytime Telephone: | | |
| Email address: | | |
| Examination Name: | | |
| <input type="checkbox"/> English as a second language | <input type="checkbox"/> Additional time | |
| <p>Candidates should contact Pearson VUE with questions about additional time.</p> <p>PEARSON VUE SPECIAL ACCOMMODATIONS/ESL</p> <p>5715 West Old Shakopee Road • Bloomington, MN 55437</p> <p>Phone (800) 466-0450 • Fax (610) 617-9397</p> | | |

GENERAL INFORMATION

CANDIDATES MAY CALL (866) 936-7780 TO MAKE AN EXAM RESERVATION.

| TEST CENTER LOCATIONS | |
|-----------------------|--|
| LOCATION | SCHEDULE |
| Wilmington | 5 days/week (includes every Saturday) |
| Raleigh | 5 days/week (includes every Saturday) |
| Statesville | 5 days/week (includes every Saturday) |
| Charlotte 1 | 5 days/week (includes every Saturday) |
| Charlotte 2 | 2-3 days a week (includes 2 Saturdays/month) |
| Asheville | 5 days/week (includes every Saturday) |
| Greenville | 5 days/week (includes every Saturday) |
| Winston-Salem | 2-3 days a week (includes 2 Saturdays/month) |

Locations and schedules are subject to change.

PEARSON VUE HOLIDAY SCHEDULE

No exams on the following holidays:

New Year's Day

Memorial Day

Labor Day

Christmas Day

Martin Luther King, Jr. Day

Independence Day

Thanksgiving Day