

Insurance Licensing

Will the Kansas Insurance Department be issuing temporary licenses or suspending any licensing requirements?

At this time, the Kansas Insurance Department will not be issuing temporary licenses or suspending any licensing requirements. We will continue to monitor the situation and work with interested parties in the weeks ahead to best address this issue.

I am applying for a new insurance license and am having trouble getting the test scheduled and the fingerprints taken. What can I do?

Effective April 2, 2020 the Kansas Insurance Department has authorized Pearson Vue, the Kansas vendor for exams, to begin using a third-party vendor still operating to administer the Kansas exam at those locations. If a person needs to schedule an exam, they should do so through the normal process on Pearson Vue's website: <https://home.pearsonvue.com/>

In addition, we know not all law enforcement facilities have stopped taking fingerprints. We encourage you to check with those in your area as well as private businesses that offer fingerprinting services. Should you have additional questions, please send them to KID.Licensing@ks.gov.

My license is up for renewal and I can't complete CE in time?

For those agents whose licenses will be up for renewal during the coming weeks, please understand the Kansas Insurance Department will not be issuing automatic suspension notices. However, licensing requirements are NOT suspended at this time. The Department is committed to working with agents on licensing issues before the Department and we encourage agents to utilize online resources accessed through their website insurance.kansas.gov or email questions to KID.Licensing@ks.gov.

I need to complete my CE and my office is closed and I am supposed to practice social distancing. Is the Department waiving the requirement to have a proctor for a self-study course? Or can I use a virtual proctor?

The Department is not waiving the requirement to have a proctor for a self-study course. However, we are allowing virtual examination monitors as long as they meet the criteria outlined in K.A.R. 40-7-20a:

<https://insurance.ks.gov/documents/department/regulations-adopted/article-7/40-7-20a.pdf>

Can I do other work at an insurance office while I wait to get my license?

Yes. However, unlicensed persons cannot perform licensable activities. At this time, the department is not issuing temporary licenses or suspending any licensing requirements. If you have questions about what is a licensable act vs. a non-licensable act, you should visit:

https://content.naic.org/sites/default/files/inline-files/committees_ex_pltf_plwg_Licensable_Activities.pdf

Securities, Broker-Dealer, Investment Adviser, and Representative Registration

Will my application for registration be processed?

Yes. Our staff continues to process firm and individual applications submitted via the CRD/IARD and applications for securities registration in the order received, including applications under FINRA's regular process for temporary registration of individuals who are moving from one firm to another and have new or updated disclosures since their last registration.

In addition, due to the COVID-19 outbreak, FINRA provided temporary relief from its requirement that firms obtain a "wet" signature on a Form U-4 before submission of an electronic U-4 to the CRD for registration. Specifically, for now, FINRA will permit firms to electronically file an initial or amended Form U4 without obtaining the individual applicant's manual signature *if* the firm follows FINRA's requirements, detailed [here](#).

With respect to fingerprint submissions to FINRA for applications to register as a broker-dealer agent, FINRA has provided temporary relief from its regular deadline—extending it until June 29, 2020, for applications submitted between February 15 and May 30, 2020. Normally an applicant must submit fingerprints to FINRA no later than 30 days after FINRA receives the application. Applicants can find additional details about this temporary relief [here](#). Kansas does not require investment adviser representatives to submit fingerprints.

Can I submit documentation for broker-dealer and investment adviser applications for registration electronically instead of in paper form?

Yes. Please submit this documentation by e-mail to Kathy Ramskill at Kathy.Ramskill@ks.gov for processing.

Does the deadline for state-registered investment advisers to file their Form ADV amendments continue to apply?

Yes. Please submit these amendments via the CRD/IARD according to the applicable deadline.

Can I submit documentation required for securities registration filings electronically?

Yes. Please submit such documents in searchable pdf format by e-mail to Shelly Welch at shelly.welch@ks.gov. Please mail checks for securities registration fees to the attention of Kathy Ramskill at our office address, 1300 SW Arrowhead Rd., Topeka, KS 66604.

Prometric testing centers are closed for 30 days starting March 18, 2020 and my window to take an exam will expire before the exam testing site re-opens. Will I still be able to take my test?

Yes. All enrollment windows that are currently open will be extended to the end of May. Candidates with an existing exam appointment during the closure will receive an email from