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INTRODUCTION

Connecticut law requires insurance producers to meet continuing education (CE) requirements each 24-month licensing period. To meet these requirements, producers must take courses approved for Connecticut Insurance Continuing Education. This information handbook contains the information required for instructors to become registered, as well as information for course providers to become approved and have their courses approved for Connecticut Insurance Continuing Education and Pre-Licensing Education.

Connecticut insurance producers need to comply with Connecticut's regulation entitled “Suitability in Annuity Transactions,” Connecticut Regulation sections 38a-432a-1 through 38a-432a-8. Please refer to Bulletin L-18 which specifically addresses the education portion of this Regulation entitled “All Insurers and Producers with a Life Line of Authority and Continuing Education Providers Offering Annuity Training” which is located on the Connecticut Insurance Department website at www.ct.gov/cid.

Approved annuity courses are listed on the Department's website at: https://portal.ct.gov/-/media/CID/CTQualifiedAnnuityCourses.pdf.

Pearson VUE administers this continuing education (CE) program and pre-licensing education (PLE) program in partnership with the Connecticut Insurance Department. Online services are provided through State Based Systems (SBS), www.statebasedsystems.com.

Providers must be approved by the Department to participate in the CE program. Courses must be reviewed by Pearson VUE before courses may be taught for credit. Providers must submit courses for approval at least 60 days before their first presentation. Approvals for CE courses are valid for a 24-month period beginning with the approval date and must be renewed each 24-month period. Pearson VUE will send course renewal notices by email through SBS systems 60 days before expiration. Provider approvals are active as long as the provider has an active course. Individual providers must register instructors before they may teach their CE courses. Instructor registrations are perpetual and need not be renewed. Pre-licensing education courses and providers’ registrations must be renewed on a two-year cycle. Course schedules and instructor registrations are not required for PLE courses.

Excess credits up to 24 hours completed during the current renewal period may be carried forward to the next renewal period.

Course applications will be reviewed and approved or disapproved within 60 days of receipt by Pearson VUE. Incomplete submissions may delay the review process. Courses are considered received when Pearson VUE receives all necessary materials. Incomplete submissions may result in disapproval. Samples of acceptable and unacceptable outlines are on pages 12 and 13.

Any of the materials in this handbook may be photocopied.

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<th>CE and PLE Fees</th>
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<td>Instructor Registration</td>
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<td>Banking Fees</td>
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This Insurance Producer Continuing Education Handbook and FAQs and other CE/PLE information are also available through our website: www.pearsonvue.com/ct/insurance. Providers may also enter and edit course offering schedules using SBS for Organizations Provider Service: https://statebasedsystems.com/solar/service_org.html.

Schedules for all CE course offerings must schedule using SBS for Organizations Provider Service: https://statebasedsystems.com/solar/service_org.html at least 15 calendar days before the course is offered. Changes and cancellations must be sent to Pearson VUE or entered on www.statebasedsystems.com as soon as known and, in all instances, before the scheduled date. Providers must upload their roster submissions
for CE courses to **SBS for Organizations Provider Service** within 15 calendar days of the course completion. Providers will receive a confirmation of all rosters submitted. Producers will receive a confirmation of compliance status only when they reach compliance. Providers may report rosters using **SBS for Organizations Provider Service**: [https://statebasedsystems.com/solar/service_org.html](https://statebasedsystems.com/solar/service_org.html).

Providers must provide a course completion certificate to each student who successfully completes a course. A recommended format is on page 18.

Connecticut participates in the **NAIC CE Reciprocity Agreement**. If you are a provider domiciled in a participating state, you may submit the course applications based on this reciprocity. See the instructions on page 15 for details.


For more information, contact:

**Pearson VUE**
Phone: (866) 316-3724
Email: ce_providers@pearson.com
Website: [https://home.pearsonvue.com/ct/insurance](https://home.pearsonvue.com/ct/insurance)
These requirements have been adopted by the Connecticut Insurance Department. Failure to comply with the program requirements may result in the suspension or termination of the provider's authorization to offer courses.

GENERAL PROGRAM INFORMATION AND REQUIREMENTS

1. All requests for approval of new or revised courses must be submitted at least 60 days before the initial offering of the course. Courses must be submitted online at www.statebasedsystems.com. Select Connecticut from the Jurisdiction dropdown and if you haven't already done so, click Sign-up for SBS for Organizations Provider Services.

2. Providers must publish and abide by a refund policy that is subject to Department approval.

3. Providers are bound by the decisions of the Department regarding course approval and credit hours allowed.

4. Only courses reviewed by Pearson VUE may be offered for Connecticut CE credit. No course may be conducted for credit until approval has been received in writing.

5. No course may be advertised or otherwise promoted as appropriate for Connecticut CE credit until it has been approved in writing.

6. When a course has been approved for continuing education credit and is advertised as such, the advertisement shall include:
   - the provider name and course title;
   - The statement “Approved by the State of Connecticut Insurance Department for insurance producer continuing education credit.” Use of this statement does not imply endorsement by the State of Connecticut Insurance Department;
   - the number of approved credit hours;
   - the type of licensee for whom the course would be most applicable; and
   - All fees and associated expenses.

7. Once approved, a course may not be substantially altered without a new application (including fee) being submitted to and approved by Pearson VUE. A substantial alteration is any change that would modify the content or time allocations stated in the course outline or would change any of the course topics. A change in the focus of a course where all or significant portions are based on a particular concept (ISO policy form, policy type, etc.) would be considered substantial. A change to update a minor point (change in Medicare deductibles, changes in estate tax limits, etc.) would not be considered substantial.

8. Fifty minutes of instruction will qualify for one CE credit. Registration, coffee and lunch breaks, and social hours do not qualify for CE credit. Breaks and their duration must be indicated on the outline. It is suggested that a 10-minute break be allowed for each 50 minutes of instruction or a 15-minute break after one and a half hours of instruction. For programs lasting six hours or more, a lunch break of at least 30 minutes is suggested.

9. No partial hours will be awarded. Anything less than 50 minutes will be rounded down.

10. Producers are limited to eight credits per day, regardless of the number of courses to be held in one day.

11. Course reviews are based on material received with the application. Applications that are incomplete, unclear, or lacking in detail are subject to disapproval.

12. Course outlines must highlight the segments for which Connecticut law and regulations and/or ethics credits are sought. At least 50 continuous minutes of such content must be found in order for Connecticut law and regulations and/or ethics credits to be granted.
13. Course providers must allow representatives of Pearson VUE and/or its designees, and employees of the Department and/or its designees, in an official capacity, to audit classroom course instruction, course materials, instructors’ presentations, course records, and records of examination, attendance rosters, and other aspects of instruction. They may not be hindered, obstructed, delayed, or interfered with while conducting or attempting to conduct an audit. Audits will be conducted with a minimum of disruptions. Auditors may attend any course offered for the purpose of the audit without paying any fee. Providers grant Pearson VUE and the Department the right to audit and/or inspect course records at the premises of the provider or at the physical location of the records.

14. Providers must keep all records of enrollments, records of examination, course records, and requests for duplicate course completion certificates on file for four years. These records must be available to Pearson VUE or the Department upon request.

15. Providers will periodically conduct an evaluation of their courses and instructors.

16. Providers must report to the Department within 30 days any disciplinary action taken against that provider by another state licensing authority.

CLASSROOM COURSES

17. Providers must inform Pearson VUE of the date, time, and location of each CE classroom course at least 15 calendar days prior to presenting. Further, providers must notify Pearson VUE immediately when a change is made in date, time, and/or location and in all instances before the scheduled date. Failure to inform Pearson VUE may result in courses being denied approval or current approvals being revoked. **Those providers with both the full credit and reduced number of credits need only submit schedules for the full credit course.**

18. All classroom courses must have attendance verified through periodic roll call, sign-in/sign-out sheet; attendance and door monitor tickets, or other approved means of taking attendance. Only students meeting minimum attendance requirements may receive credit for course completion. Attendance records must be retained for four years.

19. Producers are required to present picture identification to the course administrator upon admittance.

20. A reduced number of credits should be awarded under certain conditions to students who attend less than 100 percent of the scheduled course time. Attendance requirements include:
   - if six credit hours or less are assigned to a course, the producer must attend 100 percent of the course to receive any credit hours;
   - if more than six credit hours are assigned to a course, and the producer passes the provider-required examination for the course, and attends at least 80 percent of the course, the producer will receive 100 percent of the credit hours assigned to the course;
   - if more than six credit hours are assigned to a course, and the producer does not pass the required examination for the course but attends at least 80 percent of the course, the producer will receive 70 percent of the credit hours assigned to the course;
   - if more than six credit hours are assigned to a course for which there is no examination, and the producer attends 100 percent of the course, the producer will receive 100 percent of the credit hours assigned to the course;
   - if more than six credit hours are assigned to a course for which there is no examination, and the producer attends at least 80 percent but less than 100 percent of the course, the producer will receive 70 percent of the credit hours assigned to the course; and
   - reduced credit hours will be rounded to the nearest whole number.
   - **Pearson VUE automatically issues a second course approval for each classroom course approved for seven or more credits to accommodate this program requirement.**
21. Providers are required to report course completion rosters within 15 calendar days of course completion. Providers must distribute course completion certificates to all individuals who meet the requirements of the CE course within 15 calendar days of course completion.

22. Providers should make students aware that producers cannot receive CE credit for both a self-study (examination) course and a classroom course based on the same published materials.

23. Producers will earn credit only once for a course completed in the current biennium regardless of the number of times the same course is taken. However, the producer may take the same course again and receive credit in a subsequent biennium.

24. For classroom courses, credit for time spent on review quizzes or exams covering approved material will be provided only if immediate feedback or discussion is provided to the participants.

25. Courses conducted as video conferences must be submitted as classroom courses. A registered instructor must be present to respond to questions. A list of all locations must be submitted with the schedule.

QUALIFYING/NON QUALIFYING COURSE SUBJECTS

26. For courses to qualify, they must:
   • be a formal program of learning, which contributes directly to the professional competence of a producer;
   • have significant intellectual or practical content to enhance and improve the insurance knowledge of the participants;
   • include an indication of the level of ability required to benefit from the course on the basis of basic, intermediate, or advanced levels;
   • include a bibliography of reference sources, if any; and
   • include a list and sample of supplemental teaching aids, if any

27. The following are not approved courses:
   • courses approved for pre-license training;
   • courses in 1) mechanical office or business skills (including typing, speed reading, etc.); 2) the use of calculators, computers, or other machines or equipment; 3) the use of computer software or equipment except in computer-based needs analysis or computer solutions to risk management as related to insurance customers;
   • 4) accounting or tax preparation in connection with the business of the producer; 5) the organizational procedures and internal policies of an individual insurer; 6) motivation; 7) salesmanship or sales promotion, including meetings held in conjunction with the general business of the producer; or 8) courses that are primarily intended to impart knowledge of specific products of specific insurers, if the use of the products relates to sales promotion or marketing of one or more of the products discussed.

SELF-STUDY COURSES

28. Applications for self-study courses must include a copy of all materials that a student must study in order to pass the exam. The materials may be in the form of paper, diskette, CD or other electronic medium. In addition, a word count excluding glossaries, indexes, tables of contents and appendices must be included. If the required materials and information are not included, the course may be disapproved. A copy of one version of the exam must be submitted with the course materials. Self-study exams must contain at least 25 questions. The number of questions must increase proportionately as the amount of material increases up to a suggested maximum of 75 questions for very large courses. It is suggested that all questions should be four-alternative multiple choice or completion format and that the use of True/False questions be avoided.

29. Self-study examinations must be proctored by a disinterested third party in the manner described by the provider and be consistent with the course as approved by Pearson VUE. The proctor must complete an Affidavit of Personal Responsibility (see page 14). A disinterested third party is a person who is not in the direct line of supervision of nor has any financial interest in the success of the person taking the
examination. The proctoring process must ensure the examination will be completed by the student, on a closed-book basis without assistance. Exams must be sealed until the exam starts. The proposed exam will be approved as part of the course approval process. Actual course materials are required to be submitted with the application. Credit hours are determined by the estimated study time adjusted by the percentage of the course content that is acceptable as CE. Credit will be allowed only if the student passes the exam with a score of 70 percent or higher.

A disinterested third party is a person who is not in the direct line of supervision of nor has any financial interest in the success of the person taking the examination. This is defined as someone other than a relative, friend or business associate. A disinterested third party is someone with no conflict of interest, financial or otherwise. An example of someone who is a disinterested third party is a librarian or test center employee. An example of someone who is NOT a disinterested third party is a family member (both immediate and extended; in-laws included) or a coworker who is above/below your line of supervision.

Remote Proctoring is Permitted.

30. Self-study courses presented via the Internet must adhere to the same requirements as other self-study methods. The exam may be presented via the Internet, but it must be completely separated from the text while the exam is being presented. Remote Proctoring is permitted. The same affidavit requirement for proctors is in effect. Providers must provide Pearson VUE with the means to verify the exam procedures.

WEBINARS

31. Webinar courses must follow standard classroom policies in addition to the below stated rules:
   • Must be submitted as classroom courses
   • A separate course submission is required for webinar courses
   • Final exams are not required for webinars
   • Providers must have a process to determine when a participant is inactive or not fully engaged, such as when the screen is minimized or the participant does not answer the polling questions or verification codes.
   • For webinars not given in a group setting, no less than two polling questions and/or attendance verification codes must be asked, with appropriate responses provided, at unannounced intervals during each one-hour webinar session to determine participate attentiveness.
   • Students in all locations must be able to interact in real time with the instructor and should be able to submit questions and/or comments at any point during the webinar session.
   • The provider must have a procedure that informs the students in advance of the course participation requirements and consequences for failing to actively participate in the course.
PRE-LICENSING EDUCATION PROGRAM REQUIREMENTS FOR PROVIDERS

These requirements have been adopted by the Connecticut Insurance Department as specified by Connecticut statutes Chapter 702 Sec. 38a-769 (formerly Sec. 38-72). Failure to comply with the program requirements may result in the suspension or termination of the provider's authorization to offer courses.

INSTRUCTION

Pearson VUE approves courses for pre-license training for the authorities shown below. Eligible course providers are educational institutions, insurance companies, agent associations, insurance publishing companies and independent insurance training centers.

Each of the following single lines of authority requires 20 hours of training:

- Life
- Accident Health or Sickness
- Property (for Public Adjusters)
- Casualty
- Personal Lines

Each of the following multiple lines of authority requires 40 hours of training:

- Life/Accident and Health or Sickness
- Property/Casualty

Courses may be offered in the following manner:

1. All classroom
2. Self-Study (correspondence)
3. On-line

All courses must provide detailed procedures for their program and what requirements are necessary before issuing the Educational Certification to the individual.

Materials to be submitted with Course Application

1. Course material to be provided to the student, including a sample test (if applicable).
2. Annotated classroom outline (if applicable).
3. Letter certifying that the course meets or exceeds the 20-hour per line pre-license training requirements and includes the items set forth in the Connecticut course outlines.
4. Procedures for monitoring self-study students (if applicable).
5. Names and resumes of prospective instructors.

NOTE: If course material used is from an approved pre-license course provider, submit the name of the provider and the specific material to be used. It is not necessary to submit items 1 & 2 above.

The Connecticut exam content outlines for each line of authority can be located at https://home.pearsonvue.com/ct/insurance, under Available Downloads.
Course schedules, instructor registration, or rosters do not need to be submitted for PLE courses.
CONTINUING EDUCATION APPEAL PROCEDURES

Occasionally, a provider may dispute the outcome of an approval application or the findings of an audit. If a disagreement arises, the Department recommends the following procedures be followed in the sequence listed below.

1. Email Pearson VUE and write the reason(s) for disagreement and reconsideration of the decision. Pearson VUE will respond to your appeal within 15 business days. Send appeals to:

   Pearson VUE
   Email: ce_providers@pearson.com
   Website: www.pearsonvue.com

2. If you disagree with Pearson VUE's response to your written grievance, you should then address your appeal, in writing, to the Connecticut Insurance Department. State your reason for disagreeing with the Pearson VUE response and include copies of any correspondence. Your grievance will be reviewed and responded to within 15 business days of receipt.

   Send your appeal to:
   Email: cid.licensing@ct.gov
   Subject: CE Grievance
INSTRUCTIONS FOR COMPLETING THE INSTRUCTOR APPLICATION FORM TO BE SUBMITTED BY PROVIDER

Courses approved for Connecticut CE credit must be taught by registered instructors. Instructors must be approved by each provider whose class(es) they teach and register with Pearson VUE. Instructors will earn credit once per two-year licensing period for a course they teach. Instructors for PLE courses do not need to submit a registration form.

COMPLETING THE FORM
Provider Information—to be completed and certified by provider

PROVIDER NAME
Print or type the full legal name of the organization providing the education.

PROVIDER NUMBER
Enter the provider number assigned to your organization by Pearson VUE. If your organization is applying now, leave this space blank.

PROVIDER CERTIFICATION
Print or type your name and sign and date the form to certify all of the information provided on the form is an accurate representation of the instructor's education and experience. The provider representative's signature certifies that the instructor meets two or more of the following qualifications of Regulations of Connecticut State Agencies Section 38a-782a-6.

Those qualifications are:
1. three years' working experience in the subject matter being taught;
2. two teaching experiences certified by the provider;
3. a professional designation from a recognized industry organization or association;
4. a degree or certificate from an accredited school in the subject matter being taught; and
5. Specialized knowledge in the subject matter being taught.

Instructor Information—must be certified as correct by instructor. Information must be entered on this form, not included as an attachment. Do not send a resume or other documentation.

NAME(S)
Type or print the full legal name of the certified instructor in the name block. In the block below, list maiden name, former married name(s), and/or any aliases that have been used.

INSTRUCTOR NUMBER
Type or print the instructor identification number if one has already been assigned by Pearson VUE for another provider or state, otherwise leave blank.

HOME STREET ADDRESS
Provide home street address; a post office box alone is not acceptable.

PHONE NUMBERS
Provide a daytime business phone number, home phone number, or a cell phone number.

QUALIFYING AS AN INSTRUCTOR
Indicate at least two items that best describe your qualifications to be an instructor.

PROFESSIONAL DESIGNATION(S)
List all insurance-related professional designations that the instructor holds. The full meanings of the acronyms listed on the form are given below. If the instructor lists a designation not on the list, please provide acronym, the full title, and the granting institution.
AAI  Accredited Advisor in Insurance, Insurance Institute of America ARM Associate in Risk Management, Insurance Institute of America
CEBS  Certified Employee Benefits Specialist, International Foundation of Employee Benefit Plans
CFP  Certified Financial Planner, The CFP Board
Chartered Financial Consultant, the American College
CIC  Certified Insurance Counselor, the National Alliance for Insurance Education and Research
CLU  Chartered Life Underwriter, the American College
CPCU  Chartered Property and Casualty Underwriter, American Institute of CPCU FLMI Fellow, Life Management Institute, Life Office Management Association LUTCF Fellow, Life Underwriter Training Council
RHU  Registered Health Underwriter, National Association of Health Underwriters (NAHU)

SPECIALIZED EXPERIENCE
List any specialized experience in a specific subject matter. Include the number of years of experience and the degree designated to the instructor.
Print or type the instructor's name. The instructor must sign and date the form to certify that all of the information provided on the application is an accurate representation of the instructor's education and experience. Furthermore, the instructor certifies agreement to abide by applicable Connecticut laws, regulations, and program requirements.

SUBMISSION
The instructor form must be signed and dated by the provider's representative and by the instructor. The instructor form must be submitted through SBS at https://statebasedsystems.com/solar/service_org.html, at least 10 days before the first course the instructor teaches.
Providers are to provide all instructors with the Connecticut Insurance Department Program Requirements included in this provider handbook.
INSTRUCTOR APPLICATION

PROVIDER INFORMATION

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I certify that the information on this form is true and correct to the best of my knowledge. It accurately represents at least the minimum qualifications required to be met by the individual named on this form as an instructor. Further, the individual named as an instructor has been approved by this provider in accordance with applicable rules and regulations as defined by Regulations of CT State Agencies Section 38a-782a-6.

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INSTRUCTOR INFORMATION

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<th>MIDDLE NAME</th>
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By what other names have you been known? If none, so state.

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Please indicate which two items qualify you as an instructor under the rules listed in the Connecticut CE Administrative Regulations:

- [ ] A minimum of three years working experience in the subject matter being taught
- [ ] Two teaching experiences certified by the provider
- [ ] A professional designation from a recognized industry organization or association
- [ ] A degree or certificate from an accredited school in the subject matter being taught
- [ ] Specialized knowledge in the subject matter being taught

List professional designations:

I have specialized experience in the following subject matter:

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<th>SUBJECT MATTER</th>
<th>YEARS EXPERIENCE</th>
<th>DESIGNATED DEGREE</th>
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I certify that the information on this form is true and correct to the best of my knowledge, that I satisfy two or more qualifications of Regulations of CT State Agencies Section 38a-782a-6, and the information accurately represents my qualifications to teach insurance courses. I understand the information on this form is subject to verification through the audit process. I agree to abide by all Connecticut statutes, regulations, and program requirements regarding insurance and insurance continuing education.

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CTI-01 PLEASE PRINT OR TYPE.
DIRECTORS AND OFFICERS LIABILITY

I. Recent history of D&O liability exposure
   A. Trends in D&O claim frequency and severity
   B. Major Problem areas
      1. Federal securities laws
      2. Mergers/acquisitions
      3. Pollution claims
      4. Financial institutions claims
      5. Third-party claims
   C. Recent large settlements and judgments

II. Legal concepts underlying the D&O exposure
   A. Basic legal duties of directors and officers
      1. Duty of obedience
      2. Duty of loyalty
      3. Duty of care
   B. To whom duties are owed
   C. Common defenses
   D. Recent legislation limiting director liability

III. Common exclusions
   A. Public policy exclusions
      1. Dishonesty
      2. Gaining an illegal profit or advantage
      3. Section 16(b) of the Securities Exchange Act
      4. Return of excessive remuneration
   B. Intended to be covered elsewhere
      1. Libel and slander
      2. Nuclear energy
      3. Employment practice

IV. Case study
   Review of ABC Corporation's stockholder lawsuit alleging mismanagement by the corporation's board of directors and senior management. Study includes review of facts, company's defense and participation in defense by the insurer.

REASON FOR ACCEPTABILITY:
   1. Sufficient detail is given on subject matter covered.
   2. Sufficient detail is given on amount of time spent on each topic.
   3. Insurance policy content is a topic that qualifies for credit.
   4. Breaks are noted on the outline.
   5. Case study is described.

NOTE: CREDIT CANNOT BE GIVEN FOR SECTIONS WHERE NO DETAIL IS PROVIDED. WHEN CASE STUDIES ARE USED, DESCRIPTIONS MUST BE INCLUDED
SAMPLE UNACCEPTABLE COURSE OUTLINE

ADVANCED WORKERS COMPENSATION SEMINAR

8:00 a.m. –Noon

I. Introduction

II. Policy coverages
   A. Benefits to injured workers
   B. Employer liability

III. Writing workers compensation coverages with Middle Atlantic Life and Casualty
   A. Sales support to agents
   B. Price and service comparisons to competitors

IV. Use of technology by agents to service clients
   A. Wonder Wizard claim reporting software
   B. Visit the Middle Atlantic Life and Casualty Interactive Website

Working luncheon
Noon – 1:00 p.m.

V. Reserving

VI. Loss control activities

VII. Case studies

VIII. Panel discussion with experts

PROBLEMS: REASONS FOR UNACCEPTABILITY

Deficiencies in this outline:

1. Insufficient detail on subject matter covered.
2. Insufficient detail on amount of time spent on each topic.
3. Sales and Marketing topics are not eligible for credit.
4. Company-specific procedural or marketing content is not eligible for credit.
5. Training for office technology or use of the Internet is not eligible for credit.
6. Course material may not be presented concurrently with meals.
7. Where case studies are used, a description of the case study must be included with the course outline.
8. Where panel discussions are used, a description must be provided along with a description of the topic(s) to be addressed and backgrounds of the panel members.
9. Breaks are not noted on the outline.
AFFIDAVIT OF PERSONAL RESPONSIBILITY

TO BE SIGNED BY STUDENT
I affirm that I personally completed the entire study material of the course. I also affirm that I completed the exam without assistance from any course material, other than source material, or from any person(s).

SIGNATURE (SIGN IN INK ONLY)   DATE

AFFIDAVIT OF EXAM COMPLETION
To be Completed and Signed by Exam Monitor

PRINTED NAME OF STUDENT   NAME OF COURSE

ADDRESS WHERE EXAM WAS TAKEN

CITY   STATE   ZIP CODE

DATE EXAM WAS TAKEN   BEGINNING TIME   ENDING TIME

MONITOR: DISINTERESTED THIRD PARTY   JOB TITLE OF PERSON ADMINISTERING TEST

COMPANY/AGENCY NAME:   BUSINESS PHONE NUMBER:

BUSINESS MAILING ADDRESS:

CITY   STATE   ZIP CODE

I certify that I verified the identification of the student. In addition, I administered the final examination and certify that it was sealed until administration and completed without assistance or outside help of any kind.

SIGNATURE OF PERSON ADMINISTERING TEST (SIGN IN INK ONLY)   DATE
INSTRUCTIONS FOR PROVIDERS ELIGIBLE FOR NAIC CE RECIPROCITY

All states or jurisdictions are participating in the agreement EXCEPT:

<table>
<thead>
<tr>
<th>American Samoa</th>
<th>Massachusetts</th>
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<tr>
<td>Florida</td>
<td>Puerto Rico</td>
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<tr>
<td>Guam</td>
<td>Virgin Islands</td>
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</tbody>
</table>

TO OBTAIN CONNECTICUT APPROVAL, BASED ON THIS RECIPROCITY, YOU MUST COMPLETE ALL OF THESE STEPS:

1. Be approved as a provider in your state of domicile.
2. Receive a course approval document from your state of domicile. This may either be a letter of approval or the stamped approved application form that was filed in the resident state.
3. Be approved as a Connecticut provider. This is a separate application that must be completed before you can apply for course approval. This is a one-time approval, subject to renewal two years from the date of approval.
4. Complete the NAIC Reciprocity Standard Continuing Education Filing Form for each course.
5. Submit a photocopy of the course approval document from your home state.
6. Submit a copy of the course outline for classroom courses or the table of contents for self-study courses.
7. Pay the $25 course approval fee for each course.

Submit the application form online at State Based Systems (SBS), https://statebasedsystems.com/solar/service_org.html. No other attachments are required.

Connecticut is not required to accept any topic, provider or instructor that is not eligible for approval under its laws and regulations.
NOTE: This course may NOT be advertised or offered as approved in the state to which application has been made until approval has been received from the insurance department.

1. If you are a PROVIDER filing for approval from the Home State:
   1.1 Complete all the fields in the “Provider Information” section except “Reciprocal State” and the adjacent “Provider #” fields.
   1.2 Complete the Course Information Section.
   1.3 In the “Credit Hours Requested and Course/Hours Decision” section, complete the “Hrs. Requested by Provider” columns, detailing in the respective columns the number of hours for sales – and marketing-related instruction and the number of hours for other insurance-related instruction. Please note the following:
      1.3.1 When using this application, which is governed by the NAIC CE Reciprocity Agreement in conjunction with ‘states’ laws, only whole numbers of credit hours will be approved – partial hours will be eliminated.
      1.3.2 States that approve sales/marketing topics will consider the hours in the “sales/Mktg” column and the hours in the “Insurance” column when deciding the number of hours to approve. States that do not permit sales/marketing topics as part of continuing education credit hours will only consider the hours shown in the “Insurance” column when making their credit-hour approval decisions.
      1.3.3 Contact the individual state to determine whether there are any state specific requirements for submitting courses.
   1.4 Submit the application form along with required course materials, a detailed course outline, instructor information, if required, and the required course application fee.

2. If you are a PROVIDER filing for approval from a Reciprocal State:
   2.1 Make a sufficient number of photocopies of the Home State approval form to enable you to submit a copy of this application to each of the Reciprocal States where you are seeking credit.
   2.2 On each application, write the Reciprocal State and the provider number assigned to you by that state in the “Reciprocal State” and adjacent “Provider #” fields.
   2.3 Send the CER application, home state approval, if home state issues one, a detailed course outline, and the required fee to the reciprocal state. If this is a National Course *, the Providers will be allowed to submit an agenda that must include date, time, each topic and event location in lieu of a detailed course outline.
   2.4 Subsequent national course offerings should only be reported for events that are conducted in the “home” state.
   * National Course is defined as an approved program of instruction in insurance related topics, offered by an approved provider, and leads to a national professional designation or is a course offered to individuals who must update their designation once it is earned.

3. If you are the HOME STATE or designated representative of the Home State:
   3.1 After reviewing the course materials, complete the “Hrs Approved by Home State” column.
   3.2 Multiple types of credit and delivery methods can be approved using one CER Form.
   3.3 Enter the date of approval, course # assigned, course approval expiration date. Sign the CER Form OR attach the home state approval form.
   3.4 If the course is not approved, note it on the bottom of the CER Form.

4. If you are the RECIPROCAL STATE or designated representative of the Reciprocal State:
   4.1 After reviewing “Hrs approved by Home State” complete the “Hrs Approved by Reciprocal State”.
      4.1.1 It is unnecessary for each State to perform a substantive review of continuing education courses that have previously been approved by the Home State.
      4.1.2 Reciprocal states cannot award different credits than the home state unless certain aspects are not allowed by state law.
   4.2 Enter the date of approval, course number assigned, course approval expiration date. Sign the CER Form OR attach the reciprocal state approval form.
   4.3 If the course is not approved, note it on the bottom of the CER Form.
   4.4 The reciprocal state agrees to approve the CER submission within 30 days of receipt.

  *Drafting Note: The instructor information matrix was eliminated in 2018 as this information should be readily available on individual state/jurisdiction websites.
**COURSE COMPLETION CERTIFICATE**

<table>
<thead>
<tr>
<th>NAME OF STUDENT</th>
<th>CONNECTICUT LICENSE NUMBER</th>
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This certifies that the individual named has successfully completed the course requirements for:

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<thead>
<tr>
<th>COURSE NAME</th>
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<tr>
<th>NUMBER OF CREDITS</th>
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<th>DATE OF COURSE COMPLETION</th>
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<th>PROVIDER NAME</th>
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<th>ADDRESS</th>
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<tr>
<th>SIGNATURE OF PROVIDER REPRESENTATIVE</th>
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<th>DATE</th>
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Providers must provide the student with a course completion certificate within 15 calendar days of a student's successful completion of an approved course.

Providers may create their own forms for course completion certificates, provided all of the same information indicated above is clearly reflected on the certificate.

For self-study courses, use the date of the exam or receipt of affidavit as the course completion date.

*Stock# 1207-10  09/21*
This will certify that

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<th>NAME</th>
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<td>RESIDENCE ADDRESS</td>
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<tr>
<td>CITY</td>
<td>STATE</td>
<td>ZIP CODE</td>
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</table>

Has successfully completed [insert name of insurance company, educational institution or training institution] [course(s) of insurance] as approved by the Insurance Department, State of Connecticut, for the lines of insurance for which they desire to be licensed as a Producer pursuant to Section 38a-782 of the Connecticut General Statutes. This certificate applies only to the lines of insurance noted below as having been successfully completed by an authorized instructor and supervisor.

<table>
<thead>
<tr>
<th>COURSE</th>
<th>COURSE START DATE</th>
<th>COURSE END DATE</th>
<th>INSTRUCTOR SIGNATURE</th>
<th>SUPERVISOR SIGNATURE</th>
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<td>ACCIDENT &amp; HEALTH</td>
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<td>PROPERTY &amp; CASUALTY</td>
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<td>PERSONAL LINES</td>
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DATE OF CERTIFICATE __________________________________________

EDUCATION CERTIFICATE EXPIRES ONE (1) YEAR FROM DATE OF ISSUE

Stock# 1207-11 09/21
INSTRUCTIONS FOR COMPLETING THE COURSE OFFERING SCHEDULE

Complete schedules are required for all classes presented for Connecticut CE credit. Schedules are used for course audits and for comparing schedule date to course completion date. Schedules for PLE courses are not required.

Report all course offerings to Pearson VUE at least 15 calendar days in advance of conducting the course. Notify Pearson VUE immediately of course offering changes or cancellations; this notification must be done before the class. You may enter, edit and view course offering schedule information: https://statebasedsystems.com/solar/service_org.html.

Failure to report scheduled classes or to report changes may result in noncompliant audit findings, which can affect provider status with the Connecticut Insurance Department.

CHANGES OR CANCELLATIONS

It is often convenient for the provider to indicate cancellations or changes on a copy of the form originally used for reporting the class that is now being changed. If using this method, include a copy of the original schedule and clearly indicate that changes have been made.

COMPLETING THE FORM

Schedule information may, at the discretion of Pearson VUE, be accepted in another format. At time of online submission, the provider must provide all of the information listed.

LOCATION

Indicate city, state, complete street address with suite number, building name, if applicable, and ZIP code. If the course will be held in a hotel or restaurant, indicate the name of the hotel or restaurant. If the course will be held at an agency or insurance company, give the name of the firm where the course will be held.

SCHEDULE

Indicate the dates held and beginning and ending times for the courses. If the course is part of a longer training session including non-approved material, indicate only the time for the approved section. Weekly classes must give day of week, number of sessions, beginning and ending dates, and any dates class will not be held.

CONTACT PERSON AND PHONE

The contact person at the location is often the instructor or registrar/door monitor. Indicate the phone number at the location of the class, not the provider's office phone.