

STATE OF CALIFORNIA

John Garamendi, Insurance Commissioner

DEPARTMENT OF INSURANCE

ADMINISTRATION & LICENSING SERVICES BRANCH
PRODUCER LICENSING BUREAU, EDUCATION SECTION
320 CAPITOL MALL
SACRAMENTO, CA 95814
(916) 492-3064
(FAX) (916) 323-6851 - www.insurance.ca.gov



December 1, 2004

Provider Number: 126745

Mr. Gerald Owen
911 Arizona Ave., #1
Santa Monica, CA 90401

Subject: Provider and Course Approval

Dear Mr. Owen:

Your continuing education provider certification status and course applications have been approved and are contingent upon your compliance with our California Code of Regulations (CCR) and applicable California Insurance Code (CIC) sections as well as maintaining your active provider status, including timely renewal. You can only offer courses when your provider status is valid.

No course approved for either prelicensing or continuing education hours or any designation resulting from completion of such courses should be construed to be endorsed by the Commissioner. Your provider and course information is as follows:

Provider Number:	126745
Approval Period:	12-01-2004 to 12-31-2006
Course Title:	Should I or Shouldn't I? Finding and Following Your Ethical Wisdom Path
Course Number:	159378
Course Category:	FX
Credit Hours:	1
Presentation Method:	Contact
Designation Program:	No
Approval Period:	12-01-2004 to 12-31-2006

A completed Class Presentation Schedule (Form 446-12) must be filed 14 days prior to your first class offering.

To reiterate, these approvals are subject to your compliance with the CCR and applicable CIC sections. Failure to comply may result in a rescission of these approvals. The enclosed Attachment A will assist you in the performance of your duties as the Provider Director for an approved continuing education provider.

Gerald Owen
December 1, 2004
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Should you have any questions, you may call me at (916) 492-3034.

Sincerely,



Maria Cavazos
Education Analyst
Producer Licensing Bureau, Education Section

Enclosure

ATTACHMENT "A"

As an approved provider* you agree to follow the rules stated in the California Code of Regulations, Title 10, Chapter 5, Subchapter 1, Article 6.5, Sections 2186 through 2188.9. In particular, you are expected to:

- Maintain records of registrations, enrollments, exam grades and completions for all students. We will review them during audits.
- Maintain financial records (bank statements, ledgers, journals, receipt books, invoices, etc.) which establish an audit trail for all fees collected from and refunded to students. We will review them during audits.
- Maintain all course advertisements for two years. Advertisements shall include the name of the provider course title, license type approved for, and the credit hours assigned. We will review them during audits. Only approved providers can offer and schedule courses.
- Maintain records of reasonable efforts to notify registered students when courses are cancelled.
- Provide Certificates of Completion to all students successfully completing a course. Submit within 30 days from course completion, a Provider Roster (Form 446-13) of those students issued Certificates of Completion.
- Notify us 30 days in advance of implementing any changes to course content, other than routine updating.
- Submit new Course Approval Applications (Form 446-3) to arrive in our office at least 30 days prior to the first offering.
- Send all renewal applications to arrive in our office at least 60 days prior to the expiration dates to maintain continuity of the approval status for providers and courses.
- Maintain all records for a period of five years and make them available as requested.
- Courses are only approved for a specific provider. If another approved provider wanted to offer your course, they must submit a new Course Approval Application (Form 446-3), the course material, and an authorization letter from the original provider. Upon approval, a new course number will be issued.

*Disclaimer: No course approved for either prelicensing or continuing education hours or any designation resulting from completion of such courses should be construed to be endorsed by the Commissioner.

05/17/04

For your classroom courses be sure to:

- Submit a completed Class Presentation Schedule (446-12) at least 10 days in advance of any course offering, giving the date, time, and street address, including zip code and Instructor. This form is used to notify us of all class presentations, including changes and cancellations.
- Maintain completed Instructor Qualification Forms (Form #446-4) for all instructors in your records for five years for review during audits.
- Maintain completed attendance records at both the beginning and end of each session, for all students.
- The information on the provider roster must match the information on the class presentation schedule, or the roster will be returned unprocessed.
- The provider/instructor has the authority to withhold credit for course completion when, in his or her opinion, the student did not pay satisfactory attention, or otherwise failed to demonstrate acceptable student conduct in class.
- If an instructor wants CE credit for teaching a class, the instructor should receive a Certificate of Completion and his or her name should be included in the Provider Roster. An instructor, like a student, can only be given credit for the same course once in a two-year license approval period.

The course category codes are as follows:

<u>CATEGORY CODE</u>	<u>DESCRIPTION</u>	<u>VALID FOR LICENSE TYPES</u>
2004ANU	2004 Annuity	Life
2004LTC	2004 Long Term Care CE Course	Life, Fire and Casualty, Personal Lines
BL	Ball	Ball
CH	Commercial Health	Prelicensing (Not a license type - Upgrade to Fire and Casualty Only)
ET	Ethics	Prelicensing
FX	Fire and Casualty	Fire and Casualty, Personal Lines
FE	Fire and Ethics	Prelicensing
FL	Fire and Life	Life, Fire and Casualty, Personal Lines
LE	Life and Ethics	Prelicensing
LX	Life	Life
PE	Personal Lines & Ethics	Prelicensing
PL	Personal Lines	Prelicensing
PR	Tax Qualified California Partnership	Life, Fire and Casualty, Personal Lines
WC	Twenty Four Hour Care	Life, Fire and Casualty, Personal Lines

STATE OF CALIFORNIA

Harry W. Low, Insurance Commissioner

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**NOTICE**

DATE: August 26, 2002
TO: Education Providers
SUBJECT: On-Line Roster Program

The California Department of Insurance (CDI) is now offering to education providers an On-Line Roster Program to assist in reporting their course rosters for continuing education. By accessing a secure website, the continuing education provider can enter and submit the course roster information on-line. Upon submission, the course roster information is validated and the provider is notified immediately if the information is accepted or if there was an error in the validation. Validated course roster information will be reflected in the agent's record on our website within 24 hours. If the course roster fails to validate, an error message will indicate the reason. Course rosters must be submitted within 30 days of the completion date; course rosters with a completion date more than 30 days from the current date will not be accepted.

A search feature will allow providers to search for course rosters previously submitted (e.g. a provider may request a list of the course rosters submitted on a particular date to determine whether the individuals were correctly reported for that course and date). For added security, providers can also change their user-id and password as needed.

Access to the On-Line Roster Program will be by subscription only. Your access will be controlled by a secure user-id and password. If you would like to subscribe to the On-Line Roster Program, please visit our website at www.insurance.ca.gov and complete the Sign-up Request on-line by going to Education, and accessing Education Provider On-Line Programs. Upon submission you will be prompted to print the form for signature of the provider director. The completed form must then be mailed to the CDI Education Section at the address shown above for activation. You will be notified by e-mail of approval and activation. If you have any questions, please call the CDI Education Section at (916) 492-3064.