

§6097. Notice and information requirements for change of key individuals

Notice and information requirements for a change of key individuals is governed by this section. [PL 2023, c. 662, §2 (NEW).]

1. Licensee adding or replacing key individual. A licensee adding or replacing a key individual shall:

A. Provide notice in a manner prescribed by the administrator within 15 days of the effective date of the key individual's appointment; and [PL 2023, c. 662, §2 (NEW).]

B. Provide information as required by section 6090 within 45 days of the effective date of the key individual's appointment. [PL 2023, c. 662, §2 (NEW).]
[PL 2023, c. 662, §2 (NEW).]

2. Notice of disapproval. Within 90 days of the date on which the notice provided pursuant to subsection 1 is determined to be complete, the administrator may issue a notice of disapproval of a key individual if the competence, experience, character or integrity of the individual indicates that it would not be in the best interests of the public or the customers of the licensee to permit the individual to be a key individual of the licensee.
[PL 2023, c. 662, §2 (NEW).]

3. Basis of disapproval. A notice of disapproval must contain a statement of the basis for disapproval and be sent to the licensee and the disapproved individual. An applicant whose application is denied by the administrator under this section may request a hearing on the issue in accordance with Title 5, chapter 375, subchapter 4.
[PL 2023, c. 662, §2 (NEW).]

4. Approval. If the notice provided pursuant to subsection 1 is not disapproved within 90 days of the date on which the notice is determined to be complete, the key individual is deemed approved.
[PL 2023, c. 662, §2 (NEW).]

5. Multistate licensing process. If a multistate licensing process includes a key individual notice review and disapproval process pursuant to this section and the licensee avails itself or is otherwise subject to the multistate licensing process:

A. The administrator may accept the determination of another state if the investigating state has sufficient staffing, expertise and minimum standards for the purposes of this section; or [PL 2023, c. 662, §2 (NEW).]

B. If the State is a lead investigative state, the administrator may investigate the applicant pursuant to subsection 2 and the time frames established by agreement through the multistate licensing process. [PL 2023, c. 662, §2 (NEW).]
[PL 2023, c. 662, §2 (NEW).]

SECTION HISTORY

PL 2023, c. 662, §2 (NEW).

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