

286.9-104 Annual reports filed by licensees with commissioner.

- (1) Each licensee shall file an annual report with the commissioner by March 1 of each year, containing the following information:
 - (a) The names and addresses of each person owning a controlling interest in each license;
 - (b) The location of all places of business operated by the licensee and the nature of the business conducted at each location;
 - (c) The names and addresses of all affiliated entities regulated under this subtitle and doing business in this state;
 - (d) Balance sheets, statement of income and expenses, and other statistical information as may be reasonably required by the commissioner, consistent with generally accepted accounting practices, for the purpose of determining the general results of operations under this subtitle; and
 - (e) If the licensee is a corporation, the names and addressees of its principal officers and directors; or if the licensee is a partnership, the names and addresses of the partners; or if the licensee is a limited liability company, the names and addresses of the board of directors of the limited liability company.
- (2) If the licensee holds two (2) or more licenses or is affiliated with other licensees, a composite report may be filed.
- (3) All reports shall be filed in a form as may reasonably be required by the commissioner and shall be sworn to by a responsible officer of the licensee.
- (4) The information submitted by licensees under this section shall be held in confidence by the department and the commissioner.

Effective: July 15, 2010

History: Amended 2010 Ky. Acts ch. 24, sec. 812, effective July 15, 2010. -- Amended 2009 Ky. Acts ch. 98, sec. 17, effective January 1, 2010. -- Created 1998 Ky. Acts ch. 601, sec. 13, effective April 14, 1998.

Formerly codified as KRS 368.104.

Legislative Research Commission Note (7/12/2006). In accordance with 2006 Ky. Acts ch. 247, secs. 38 and 39, this statute has been renumbered as a section of the Kentucky Financial Services Code, KRS Chapter 286, and KRS references within this statute have been adjusted to conform with the 2006 renumbering of that code.