



NON-RESIDENTIAL MORTGAGE LENDER LICENSE APPLICATION for Insurance Companies

Mail completed applications to: South Dakota Division of Banking
217 ½ W Missouri Avenue
Pierre, SD 57501

Date Received:

Approved Denied

By: _____

Date: _____

All answers must be typewritten or printed legibly. All signatures must be in ink.

Section 1

A) Exact name and business address of applicant:

Full name of applicant (if sole proprietor, state first middle and last name)		
Name under which lending business is primarily conducted, if different from above		
Physical address of location to be licensed:		
(city)	(state)	(zip)
Web Address		

B) Contact Person – The individual listed as the contact person must be authorized to receive all compliance information, communications, and mailing, and be responsible for disseminating it within the applicant's organization.

Name		Title
Mailing Address		
(city)		(state) (zip)
Phone Number ()	ext.	Email address

C) Physical address of location where the official books and records of the applicant will be kept.

Records Custodian Name		
Mailing Address		
(city)		(state) (zip)
Phone Number ()	ext.	Email address

Section 2

- Indicate legal status of applicant:
 Corporation Sole Proprietorship Partnership
 Limited Liability Company Other (*specify*) _____
- If other than a sole proprietor, indicate date and place applicant obtained its legal status (*i.e., state or country where incorporated, where partnership agreement was filed, or where applicant entity was formed*):
State/Country of formation _____ Date ____/____/____
- Federal Empl. ID Number (FEIN), or if sole proprietor, Social Security Number: _____
- Applicant's fiscal year end: _____

Section 4 Criminal, Regulatory Action and Financial Disclosure

	Yes	No
1. In the past ten years has the applicant or a control person listed in Section 3:		
a. Been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign or military court to any felony?	<input type="checkbox"/>	<input type="checkbox"/>
b. Been charged with any felony?	<input type="checkbox"/>	<input type="checkbox"/>
2. In the past ten years has the applicant or a control person listed in Section 3:		
a. Been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign or military court to a misdemeanor involving dishonesty or moral turpitude?.....	<input type="checkbox"/>	<input type="checkbox"/>
b. Been charged with a misdemeanor involving dishonesty or moral turpitude?	<input type="checkbox"/>	<input type="checkbox"/>
3. Has any other state or federal regulatory agency ever:		
a. Found the applicant or a control person to have made a false statement or omission?	<input type="checkbox"/>	<input type="checkbox"/>
b. Found the applicant or a control person to have been involved in a violation of its regulations or statutes?	<input type="checkbox"/>	<input type="checkbox"/>
c. Found the applicant or a control person to have been a cause of a lending-related business having its authorization to do business denied, suspended, revoked, or restricted?.....	<input type="checkbox"/>	<input type="checkbox"/>
d. Entered an order against the applicant or a control person in connection with lending-related activity?	<input type="checkbox"/>	<input type="checkbox"/>
e. Imposed a civil money penalty on the applicant or a control person, or ordered the applicant or control person to cease and desist from any activity?	<input type="checkbox"/>	<input type="checkbox"/>
f. Ever denied, suspended, or revoked the applicant's or a control person's registration or license or otherwise, by order, prevented it from associating with a lending-related business or restricted its activities?.....	<input type="checkbox"/>	<input type="checkbox"/>
4. Is the applicant or a control person now the subject of any regulatory proceeding that could result in a "yes" answer to any part of 3a through 3f?.....	<input type="checkbox"/>	<input type="checkbox"/>
5. Has any domestic or foreign court:		
a. In the past ten years, enjoined the applicant or a control person in connection with any lending-related activity?	<input type="checkbox"/>	<input type="checkbox"/>
b. Ever found that the applicant or a control person was involved in a violation of lending-related statutes or regulations?	<input type="checkbox"/>	<input type="checkbox"/>
c. Ever dismissed, pursuant to a settlement agreement, a lending-related civil action brought against the applicant or a control person by a state or foreign financial regulatory authority?	<input type="checkbox"/>	<input type="checkbox"/>
6. Is the applicant or a control person now the subject of any civil proceeding that could result in a "yes" answer to any part of 5a through 5c?.....	<input type="checkbox"/>	<input type="checkbox"/>
7. In the past ten years has the applicant or a control person of the applicant ever been the subject of a bankruptcy petition?.....	<input type="checkbox"/>	<input type="checkbox"/>
8. Has a bonding company ever denied, paid out on, or revoked a bond for the applicant?.....	<input type="checkbox"/>	<input type="checkbox"/>
9. Does the applicant have any unsatisfied judgments or liens against it?.....	<input type="checkbox"/>	<input type="checkbox"/>

****If you checked "yes" to any of the above questions in Section 4, please provide details on a separate page.****

Section 7 Do you understand that:

- a. **This license covers Non-Residential Mortgage Lending ONLY.** Residential Mortgage Lending requires application through the NMLS and compliance with all sections of SDCL 54-14. Yes No
- b. Any change of control requires written notification to the Division of Banking? Yes No
- c. A change of name or address requires an amendment to your license? Failure to notify the Division of Banking and amend your license may result in disciplinary action? Yes No
- d. This license must be renewed by December 1st of each year? Yes No
- e. By holding this license you are required to file a Bank Franchise Tax Return with the Special Taxes Division of the South Dakota Department of Revenue and Regulation (www.state.sd.us/drr)? Yes No
- f. Any false statement in your application for a license is cause for suspension or revocation of your license? Yes No
- g. This license is not transferable? Yes No
- h. Incomplete applications will be returned? Yes No

Applicant consents to the investigation and verification by the Division of any information provided in this or any other application.

Applicant agrees to abide by all lawful rules promulgated. Applicant also agrees to authorize the person named in Section 1 above to accept and carry out directives of the Division.

This is a continuing application and applicant must, without inquiry from the Division, supplement and update the information herein provided as may from time to time be necessary.

SIGNATURE MUST BE NOTARIZED OR CERTIFIED IN ONE OF THE FOLLOWING SECTIONS

<p>STATE OF _____</p> <p style="text-align: right;">SS</p> <p>COUNTY OF _____</p> <p>_____, being duly sworn, deposes and says that he signed the foregoing application as _____</p> <p style="text-align: center;">(Official Title)</p> <p>of the above named applicant, having full authority to sign such application in said capacity; that he has read said application and that the information contained therein is true as he verily believes.</p> <p style="text-align: center;">_____ (Signature)</p> <p>Subscribed and sworn to before me this _____ day of _____, 20____</p> <p>(NOTORIAL SEAL)</p> <p style="text-align: center;">_____ (Notary Public)</p> <p>My commission expires _____</p>	
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<p>Pursuant to SDCL 23A-16 as amended, person(s) signing may sign the following statement in lieu of the above oath. "I declare and affirm under the penalties of perjury that this claim (petition, application, information) has been examined by me, and to the best of my knowledge and belief, is in all things true and correct." Any person who signs this statement, knowing the same to be false or untrue, in whole or in part, shall be guilty of perjury.</p>		
<p>_____ Signature</p>	<p>_____ Name and title (printed)</p>	<p>_____ Date</p>