

# OHIO APPLICATION ATTESTATION

## Company License/Registration

**For purposes of this attestation, “applicant” means the person seeking, and subsequently obtaining, licensure/registration from the division.**

Name of Applicant Company: \_\_\_\_\_

NMLS ID of Applicant: \_\_\_\_\_

Under penalties of perjury, I, the undersigned, to the best of my knowledge, do hereby acknowledge and attest that the MU application submitted via the Nationwide Multistate Licensing System and Registry (NMLS), and incorporated by reference herein, constitutes a complete, truthful, and correct statement of information requested by the Division.

I understand that any false or fraudulent representation or substantial misrepresentation may be grounds for denial of any application pending with the Division, or revocation of any approval granted by the Division, and could result in other legal action initiated against me, including but not limited to criminal prosecution.

On behalf of the Applicant, I further acknowledge and confirm that the Applicant:

- has made the appropriate filings with the Ohio Secretary of State;
- has not engaged in unregistered/unlicensed activity at any location prior to the issuance of a registration/license for that location by the Division;
- understands that this Attestation pertains to any and all branch locations at which Ohio related transactions are conducted;
- will monitor the NMLS account and will timely address any license items and deficiencies that require submission of a response;
- has obtained surety bond coverage in the amount and in compliance with the Revised Code provisions pursuant to which the Applicant is seeking registration/licensure (if applicable);
- will provide updated information to the Division (via NMLS) of any material changes on the application;
- understands the ongoing duty to provide notice to the Division (via NMLS) if the Applicant and any ten per cent or more owner, officer, director, or other control person, and/or has been convicted or pled guilty or nolo contendere to any felony or misdemeanor criminal offense in any domestic, foreign, or military court;
- understands the ongoing duty to provide notice to the Division (via NMLS) if the Applicant and any ten per cent or more owner, officer, director, or other control person is sanctioned by any government agency in conjunction with any financial matter, including personal or business related judgments;

- affirm that, in obtaining a certificate of registration/license, the Applicant and any ten per cent or more owner, officer, director, or control person, is familiar with, understands, and is bound by the applicable provisions of the Revised Code and Ohio Administrative Code;
- understands that the Revised Code and administrative rules promulgated thereunder establish statutory conduct standards, affirmative duties and prohibitions in conjunction with the conduct of business under the certificate of registration/license;
- will pay the costs of an examination of books and records located outside Ohio if such an examination is necessary (if applicable);
- will provide all documents requested during the course of an examination by the Division;
- will renew its license/registration annually by December 31<sup>st</sup> or else the license/registration will be cancelled by operation of law;
- will maintain records pertaining to the licensed/registered business pursuant to the applicable Revised Code provisions, and that the Applicant remains subject to this requirement after the cessation of business and the surrender or non-renewal of the license/registration;
- understands that the Applicant may be required to repeat these attestations, in whole or in part, on subsequent filings submitted to the Division.

On behalf of the RMLA applicant (if applicable), I further acknowledge and confirm that the RMLA Applicant:

- will maintain the appropriate bond amount for the required time, and will ensure that the Surety Bond company keeps information accurate and timely on the NMLS;
- will ensure that all MLOs and branch locations are appropriately supervised, including a designated Operations Manager as required by ORC 1322;
- understands the ongoing duty to provide notice to the Division (via NMLS) if the Applicant, and/or any five per cent or more owner, officer, director, or other control person for RMLA has been convicted or pled guilty or nolo contendere to any felony or misdemeanor criminal offense in any domestic, foreign, or military court;
- understands the ongoing duty to provide notice to the Division (via NMLS) if the Applicant and any five per cent or more owner, officer, director, or other control person is sanctioned by any government agency in conjunction with any financial matter, including personal or business related judgments.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Position with the Applicant

# COMPANY RESOLUTION

To be adopted by all companies for the purpose of demonstrating that the person signing documents and forms filed with, or submitted to, the Division of Financial Institutions, Consumer Finance Section, has the company's authority to sign on behalf of the company. *NOTE: it is not necessary for sole proprietors to submit a Company Resolution.*

\_\_\_\_\_  
(Name of Company)

AT A MEETING OF ITS \_\_\_\_\_ HELD AT \_\_\_\_\_  
(members, partners, managers, trustees, board of directors)

ON THE \_\_\_\_\_ DAY OF \_\_\_\_\_, 20\_\_\_\_ PURSUANT TO LAWFUL NOTICE OF WAIVER THEREOF, and at which meeting a quorum for the transaction of business was present, the following was duly adopted:

**"BE IT RESOLVED**, that \_\_\_\_\_  
(Name of Individual and Company Title)

or \_\_\_\_\_  
(Name of Individual and Company Title)

of \_\_\_\_\_  
(Name of Company)

be authorized and directed by the Company's members, partners, managers, trustees or board of directors, to execute and submit filings and forms for, and all acts amendatory thereof and supplemental thereto, the Company, to the Division of Financial Institutions."

## CERTIFICATION

The undersigned hereby certifies that he/she is the \_\_\_\_\_ Secretary of \_\_\_\_\_, a company organized and existing under the laws of the State of \_\_\_\_\_; that the foregoing is a true and correct copy of a resolution duly adopted at a meeting of the members, partners, managers, trustees or board of directors of the company held on \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_, at which meeting a quorum was at all times present and acting; that the passage of said resolution was in all respects legal; and, that said resolution is in full force and effect.

By \_\_\_\_\_  
(Company Secretary – Signature)

Printed Name \_\_\_\_\_

Date \_\_\_\_\_