



# Arizona Department of Financial Institutions



## DFI Universal License Renewal Application

***This application must be complete and legible***

**Do not leave any blank spaces. There must be an answer provided for each inquiry. If not applicable use "None" or "n/a".**

License Number:

Year of Renewal:

### 1. Company Identifying Information:

#### A. Legal Name:

Legal Name approved by domicile state

Arizona Legal Name (as approved by the Arizona Corporate Commission or Arizona Secretary of State)

Doing Business As (DBA) Name: Optional. As approved by the Arizona Secretary of State:

#### B. Corporate Address:

Address Line 1:

Address Line 2:

City:

State:

Zip Code:

Telephone Number:

Fax Number:

Website:

Email:

### 2. Company Contacts:

#### A. Contact Employee:

Name:

Title:

Telephone Number:

E-mail Address:

### 3. Arizona Branches: - IF MT or MVD, Arizona Branches only:

**-List branches you are renewing.**

**-Do not list your primary office location as a branch location.**

**-Return original license on those locations you are NOT renewing.**

a. Designated Branch Manager (Overseer or Contact Person):

Address:

City:

State:

Zip Code:

Telephone Number:

Fax Number:

b. Designated Branch Manager (Overseer or Contact Person):

Address:

City:

State:

Zip Code:

Telephone Number:

Fax Number:

c. Designated Branch Manager (Overseer or Contact Person):

Address:

City:

State:

Zip Code:

Telephone Number:

Fax Number:

**List additional branches on a separate sheet.**



## 4. Disclosures:

If the answer to any of the following is "YES", provide complete details of all events or proceedings in an attachment, including as applicable; name and location of court, docket or case number, and status and summary of event or proceeding; copies of applicable charge(s), order(s), and/or consent agreement(s). **FINANCIAL SERVICES OR FINANCIAL SERVICES RELATED** - Pertaining to securities, commodities, banking, insurance, consumer lending, money services businesses, consumer debt management or real estate (including, but not limited to; acting as or being associated with a bank or savings association, credit union, Farm Credit System institution, mortgage lending, mortgage broker, real estate salesperson or agent, appraiser, closing agent, title company, escrow agent, payday lender, money transmitter, check casher, pawnbroker, collection agent, debt management company or title lender).

Do not list any offences that were previously reported to the Department on your initial applications or subsequent renewals.

### A. Criminal Disclosure

	YES	NO
(a) Has the entity or a control affiliate ever:		
(1) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to any felony?		
(2) been charged with any felony?		
(b) In the past ten years has the entity or a control affiliate:		
(1) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to a misdemeanor involving: financial services or a financial services-related business; any fraud, false statements, or omissions; any theft or wrongful taking of property; bribery; perjury; forgery; counterfeiting; extortion; or a conspiracy to commit any of these offenses?		
(2) been charged with a misdemeanor specified in (b)(1)?		

### B. Regulatory Action Disclosure:

(c) In the past ten years, has any State or federal regulatory agency or foreign financial regulatory authority ever:		
(1) found the entity or a control affiliate to have made a false statement or omission or been dishonest, unfair or unethical?		
(2) found the entity or a control affiliate to have been involved in a violation of a financial services-related regulation(s) or statute(s)?		
(3) found the entity or a control affiliate to have been a cause of a financial services-related business having its authorization to do business denied, suspended, revoked or restricted?		
(4) entered an order against the entity or a control affiliate in connection with a financial services-related activity?		
(5) denied, suspended, or revoked the entity's or a control affiliate's registration or license or otherwise, by order, prevented it from associating with a financial services-related business or restricted its activities?		
(d) Has the entity's or a control affiliate's authorization to act as an attorney, accountant, or State or federal contractor ever been revoked or suspended?		
(e) Is the entity or a control affiliate now the subject of any regulatory proceeding that could result in a "yes" answer to any part of (c)?		

### C. Civil Judicial Disclosure:

(f) Has any domestic or foreign court:		
(a) in the past ten years enjoined the entity or a control affiliate in connection with any financial services-related activity?		
(b) in the past ten years found the entity or a control affiliate to be in violation of any financial services-related statute(s) or regulation(s)?		
(c) in the past ten years dismissed, pursuant to a settlement agreement, a financial services-related civil action brought against the applicant or control affiliate by a State or foreign financial regulatory authority?		
(g) Is the entity or a control affiliate named in any pending financial services-related civil action that could result in a "yes" answer to any part of (f)?		



### D. Financial Disclosure:

(h) In the past ten years has the entity or a control affiliate been a mortgage lender or a mortgage broker or a control affiliate of a mortgage lender or a mortgage broker that has been the subject of a bankruptcy petition?		
(i) Has a bonding company ever denied, paid out on, or revoked a bond for the entity?		
(j) Does the entity have any unsatisfied judgments or liens against it?		

### 5. Changes to Your Licenses:

	YES	NO
Have you made any changes to your license since the last renewal (address-corporate or branch; owner/officer; company name-including trade name)?"		

NOTE: When submitting your renewal application, you are certifying that all information on file with AzDFI is current and accurate and that all applicable documents and fees have been submitted to AzDFI for any changes made since the last renewal.

### 6. Affidavit:

- (a) I have read and understand the items and instructions on this form;
- (b) My answers (including attachments) are true and complete to the best of my knowledge;
- (c) I understand that I am subject to administrative, civil or criminal penalties if I give false or misleading answers;
- (d) I have read and understand applicable federal and state law, and will be in compliance at all times;
- (e) I promise to keep the information contained in this form current and to file accurate supplementary information on a timely basis;
- (f) I understand that this renewal has to be signed by one of the owners or officers on file with the Department of Financial Institutions

Signature of individual: \_\_\_\_\_

Print Name: \_\_\_\_\_ Date (MM/DD/YYYY) \_\_\_\_\_