



## New Application Checklist

Jurisdiction-Specific Requirements



### INDIANA-SOS LOAN BROKER BRANCH LICENSE

#### Instructions

1. Each branch location wherever located, desiring to conduct business in Indiana must be separately licensed and will require a filing of Form MU3 through NMLS.
2. Each individual originating mortgages needs to be separately licensed and will require a filing of Form MU4 through NMLS. After the MU4 is submitted, the company must submit a sponsorship request to the regulator before the individual MU4 license will be approved. A quick guide entitled "Create a Company Sponsorship" at the following link will help walk you through this process: [NMLS Quick Guides](#).
3. All branch locations are required to have a registered Principal Manager working at that location to supervise the activities at that branch. A Principal Manager can be registered by filing Form MU4.
4. Total registration cost is an NMLS processing fee of \$20.00.
5. All fees are collected through the NMLS and ARE NOT REFUNDABLE.
6. The regulator will review the filing and all required documents and communicate with you through the NMLS. To review your status in the NMLS, click the Tasks tab and click Work List.

**WHO TO CONTACT** – Contact *Indiana Secretary of State, Securities Division* licensing staff by phone at 317-232-6681 or send your questions via e-mail to [ejwise@sos.in.gov](mailto:ejwise@sos.in.gov) for additional assistance.

THE APPLICANT/REGISTRANT IS FULLY RESPONSIBLE FOR ALL OF THE REQUIREMENTS OF THE LICENSE FOR WHICH THEY ARE APPLYING. THE JURISDICTION SPECIFIC REQUIREMENTS CONTAINED HEREIN ARE FOR GUIDANCE ONLY TO FACILITATE APPLICATION THROUGH THE NMLS. SHOULD YOU HAVE QUESTIONS, PLEASE CONSULT LEGAL COUNSEL.