



New Application Checklist Jurisdiction-Specific Requirements



INDIANA-SOS PRINCIPAL MANAGER LICENSE

Instructions

1. A Principal Manager is required for all locations conducting transactions in Indiana 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; this is different than a relationship. A quick guide entitled "Create a Company Sponsorship" at the following link will help walk you through this process: [NMLS Quick Guides](#).
2. Total License costs: \$169.00 which includes the NMLS set-up fee and FBI fingerprint fee. Additional charges for the National SAFE Tests and Principal Manager Assessment are not included in the initial application fee.
3. All fees are collected through the NMLS except the Principal Manager Assessment fee and ARE NOT REFUNDABLE.
4. Complete 20 hours of live, [NMLS approved education](#).
5. Complete the [National and State SAFE Tests](#).
6. Complete fingerprints for an [FBI background report](#).
7. Complete the Principal Manager Assessment and provide the passing certificate verifying the assessment was passed in the last 12 months. [Candidate Guide for Principal Manager Assessment](#).
8. 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 Composite View Tab and View Individual.
9. Jurisdiction-specific requirements as identified on the checklist below must be received with this checklist within 5 business days of the electronic submission of your application through the NMLS at the following:

For U.S. Postal Service or Overnight Delivery:
Indiana Secretary of State
Securities Division
302 W. Washington St.
Room E-111
Indianapolis, IN 46204

NMLS Unique ID Number: _____

Applicant Legal Name: _____

ATTACHED	NOT APPLICABLE	ITEM
<input type="checkbox"/>	<input type="checkbox"/>	PRINCIPAL MANAGER ASSESSMENT RESULTS. Provide a copy of the passing results.
<input type="checkbox"/>	<input type="checkbox"/>	SUPPORTING DOCUMENTS. Provide any supporting documentation that may be necessary including resumes showing detailed experience.
<input type="checkbox"/>	<input type="checkbox"/>	DISCLOSURE QUESTIONS. Provide complete details of all events or proceeding for any "Yes" answer to any of the Disclosure questions and provide a copy of any applicable orders or documents.

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 for additional assistance.

THE APPLICANT/REGISTRANT IS FULLY RESPONSIBLE FOR ALL OF THE REQUIREMENTS OF THE REGISTRATION 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.