



## Surrender Jurisdiction-Specific Requirements



### NEW YORK MORTGAGE BROKER BRANCH REGISTRATION

#### Instructions

1. New York does not charge fees for license surrender.
2. Surrenders will not be processed without receipt of all items listed on the checklist.
3. Branch office surrenders are processed using Form MU3. **Note:** you must select the MU3 associated with the branch office(s) you wish to surrender and New York as the jurisdiction.
4. You are required to indicate the physical location where the books and records will be maintained subsequent to the surrender of the branch registration. This information must be provided in the "Books and Records" section of Form MU3.
5. Indicate the name, address and telephone number of the individual(s) responsible for safekeeping of the books and records subsequent to the surrender.
6. Provide the name, address and telephone number of the individual responsible for winding down the operations of the branch office and for handling consumer complaints. The registrant must submit any documents required on the checklist below within 5 business days of the electronic submission of your surrender through the NMLS at the following:

*For U.S. Postal Service and Overnight Delivery:*

*New York State Department of Financial Services  
Mortgage Banking Division  
One State Street  
New York, NY 10004  
**Attention: Stephanie Cunningham***

NMLS Unique ID Number: \_\_\_\_\_

Registrant's Legal Name: \_\_\_\_\_

ATTACHED	NOT APPLICABLE	ITEM
<input type="checkbox"/>	<input type="checkbox"/>	<p><b>REGISTRATION</b> Enclose the original branch registration(s) for the branch office(s) issued by the New York State Department of Financial Services. If your registration(s) has been lost or misplaced, you must submit a notarized Lost License and Certificate Affidavit. The affidavit can be downloaded at <a href="http://www.banking.state.ny.us/mbllca.pdf">www.banking.state.ny.us/mbllca.pdf</a>.</p>

<input type="checkbox"/>	<input type="checkbox"/>	<b>PIPELINE</b> List of all loans in the pipeline of the respective branch office(s) as of the date surrender is filed in the NMLS. Listing should include the date of application, name of borrower(s), property address, proposed loan amount, fees, and anticipated closing date.
<input type="checkbox"/>	<input type="checkbox"/>	<b>RECORDS INFORMATION COMPLETE THE FORM ATTACHED BELOW AND RETURN WITH THIS CHECKLIST.</b>

**WHO TO CONTACT** – Contact Ben Saxena by phone at (212) 709-5542 or Evelyn Torres at (212) 709-3844. Alternatively, send your questions via e-mail to [ben.saxena@dfs.ny.gov](mailto:ben.saxena@dfs.ny.gov) for additional assistance.

SURRENDER OF YOUR REGISTRATION IS NOT EFFECTIVE UNTIL ACCEPTED BY THE DEPARTMENT OF FINANCIAL SERVICES. YOU REMAIN RESPONSIBLE FOR FINANCIAL OBLIGATIONS INCURRED PRIOR TO THE EFFECTIVE DATE OF SURRENDER.



## Surrender – Records Information

NMLS Unique ID Number: \_\_\_\_\_

Licensee Legal Name: \_\_\_\_\_

1. Indicate the name, address and telephone number of the individual(s) responsible for safekeeping of the books and records subsequent to the surrender.

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2. Provide the name, address and telephone number of the individual responsible for winding down the operations of the branch office and for handling consumer complaints.

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