



## SURETY COMPANY ACCOUNT REQUEST AND STATE AUTHORIZATIONS FORM

Surety Company Account Form	
Limited Account Request	
Company Information	
Company Information	
Data Element	Additional Instruction
Company Full Legal Name:	Enter the exact legal name as it appears on your company's Articles of Incorporation, Articles/Certificate of Organization, Partnership Agreement, or other legal document.
Holding Company?  <i>Note: A holding company will not have an NAIC Number.</i>	Indicate whether the entity requesting the NMLS account is a holding company. A holding company is a surety company that manages one or more underwriting companies <b>but itself does not perform surety bond underwriting.</b>
NAIC Number:  <i>Note: This field is not required for Holding Companies.</i>	Enter the unique identifier for your company that was assigned by the National Association of Insurance Commissioners. This number will be used throughout NMLS to identify your surety company. Leave this field blank you are a holding company.
IRS Employer Identification Number:	Enter your company's IRS Employer Identification Number (EIN). The EIN is the Taxpayer Identification Number issued by the IRS. These numbers are also known as "FEIN" or "TIN."
Company Headquarters Location	
Data Element	Additional Instruction
Street Address 1:	Enter the main corporate headquarters' street address.
Street Address 2:  <i>Note: This field is not required by the System.</i>	Enter the main corporate headquarters' PO Box, apartment number, or unit number (if applicable).
City:	Enter the city of the main corporate headquarters location.
State: <i>Note: Leave this field blank if your headquarters location is outside of the United States.</i>	Select the state of the main corporate headquarters location.
Country/Province:	Select the country/province of the main corporate headquarters location.

Postal Code:  <i>Note: This field is not required if your headquarters Country/Province is outside of the United States.</i>	Enter the postal code of the main corporate headquarters location.
<b>Primary Contact Information</b>	
<p>The Primary Contact must be authorized to receive all communications regarding the company and bond management. They must also be responsible for disseminating this information within the organization.</p> <p>The Primary Contact provided creates the company account for Account Administrator #1, once the Limited Account Request form is validated and approved by NMLS.</p>	
Data Element	Additional Instruction
First Name:	Enter the legal first name as it appears on the government-issued identification document (e.g. driver's license, passport, or Permanent Resident card) of the Primary Contact that represents the company at a corporate level for NMLS Electronic Surety Bond Tracking.
Middle Name:  <i>Note: This field is not required by the System.</i>	Enter the legal middle name as it appears on the government-issued identification document (e.g. driver's license, passport, or Permanent Resident card) of the Primary Contact that represents the company at the corporate level for NMLS Electronic Surety Bond Tracking.
Last Name:	Enter the legal last name as it appears on the government-issued identification document (e.g. driver's license, passport, or Permanent Resident card) of the Primary Contact that represents the company at the corporate level for NMLS Electronic Surety Bond Tracking.
Suffix (Jr., Sr., etc):  <i>Note: This field is not required by the System.</i>	Enter the legal suffix (if applicable) as it appears on the government-issued identification document (e.g. driver's license, passport, or Permanent Resident card) of the Primary Contact that represents the company at the corporate level for NMLS Electronic Surety Bond Tracking.
Title:  <i>Note: This field is not required by the System.</i>	Enter the title or position of the Primary Contact that represents the company at the corporate level for NMLS Electronic Surety Bond Tracking.
Email:	Enter the business email address of the Primary Contact that represents the company at a corporate level for NMLS Electronic Surety Bond Tracking.

Confirm Email:	Enter confirmation of the business email address of the Primary Contact that represents the company at the corporate level for NMLS Electronic Surety Bond Tracking.
Phone:	Enter the business phone number of the Primary Contact that represents the company at the corporate level for NMLS Electronic Surety Bond Tracking.
Fax: <i>Note: This field is not required by the System.</i>	Enter the fax number of the Primary Contact that represents the company at the corporate level for NMLS Electronic Surety Bond Tracking.
<b>Submitter Confirmation</b>	
<b>Submitter</b>	
Request Submitted By:	Enter the full legal name as it appears on the government-issued identification document (e.g. driver's license, passport, or Permanent Resident card) of the Submitter of the Surety Company Account Form.
Title: <i>Note: This field is not required by the System.</i>	Enter the title or position of the Submitter of the Surety Company Account Form.
Email:	Enter the business email address of the Submitter of Surety Company Account Form.
Confirm Email:	Enter confirmation of the business email address of the Submitter of Surety Company Account Form.
Phone:	Enter the business phone number of the Submitter of Surety Company Account Form.
Request Submitted By:	Enter the full legal name as it appears on the government-issued identification document (e.g. driver's license, passport, or Permanent Resident card) of the Submitter of the Surety Company Account Form.
<b>Attestation and Submission</b>	
I, <b>[Name of User]</b> am authorized to make this submission on behalf of <b>[Company Name]</b> and confirm the information contained within this submission is true and accurate. Company agrees to and represents the following:	

1. That the information and statements contained herein, including exhibits attached hereto, and other information contained herewith, all of which are made a part of this submission, are current, true and complete and are made under the penalty of perjury, or un-sworn falsification to authorities or similar provisions as provided by law;
2. To the extent any information previously submitted is not amended, such information remains accurate and complete;
3. That the SRR may conduct any investigation into the veracity of the information supplied by the Company, and any related individuals or entities, including but not limited to, investigation of their respective state authorization to conduct the business of making and selling of surety bonds and undertakings;
4. To keep the information contained in this record current and to submit accurate supplementary information on a timely basis; and
5. To comply with all applicable provisions of law, including the maintenance of accurate books and records, pertaining to the conduct of its surety business.

If the Company has knowingly made a false statement of a material fact in this record or in any documentation provided to support the foregoing record, then the foregoing account request may be denied.

- On this date **[System Date – Day, Month Date, Year]**, I verify that I am the named person above and that I am authorized to attest to and submit this information on behalf of **[Company Name]**. I do solemnly swear or affirm under the penalties of perjury, or un-sworn falsification to authorities or similar provisions as provided by law that I have reviewed the foregoing responses for accuracy and that they are true and correct.

<b>Full Entity Request</b>	
<b>Company Information</b>	
<b>Company Information</b>	
State of Incorporation:	The state or jurisdiction where the entity was established.
<b>Account Administrators</b>	
<p>The Account Administrators are the persons of your company's choosing that will have full access to your company's record on NMLS and will be able to manage and view the company's information. The Account Administrators are also responsible for establishing and maintaining other System users for the company's NMLS account and delegation of certain responsibilities to appropriate users. NMLS requires at least one Account Administrator but strongly recommends two. Once the Limited Account Request form is reviewed and validated, an NMLS account will be established for the requesting entity and user names and passwords will be issued to the Account Administrators. The normal validation process takes 48 to 72 hours.</p>	
<b>Account Administrator #1</b>	
<p>The data fields below for Account Administrator #1 are defaulted from the Primary Contact information provided as part of the Limited Account Request form. To remove and/or replace Account Administrator #1, contact the NMLS Call Center at 1-855-NMLS-123 (1-855-665-7123).</p>	
Data Element	Additional Instruction
First Name:	This data field is defaulted from Primary Contact Information provided as part of the Limited Account Request form.
Middle Name:	This data field is defaulted from Primary Contact Information provided as part of the Limited Account Request form.
Last Name:	This data field is defaulted from Primary Contact Information provided as part of the Limited Account Request form.
Suffix (Jr., Sr., etc):	This data field is defaulted from Primary Contact Information provided as part of the Limited Account Request form.
Title:	This data field is defaulted from Primary Contact Information provided as part of the Limited Account Request form.

Email:	This data field is defaulted from Primary Contact Information provided as part of the Limited Account Request form.
Phone:	This data field is defaulted from Primary Contact Information provided as part of the Limited Account Request form.
<b>Account Administrator #2</b>	
The System does not require data entry of Account Administrator #2, however NMLS strongly recommends two Account Administrators. If information is provided for Account Administrator #2, all required data fields must have a value.	
Data Element	Additional Instruction
First Name:	Enter the legal first name as it appears on the government-issued identification document (e.g. driver's license, passport, or Permanent Resident card) for Account Administrator #2.
Middle Name: <i>Note: This field is not required by the System.</i>	Enter the legal middle name as it appears on the government-issued identification document (e.g. driver's license, passport, or Permanent Resident card) for Account Administrator #2.
Last Name:	Enter the legal last name as it appears on the government-issued identification document (e.g. driver's license, passport, or Permanent Resident card) for Account Administrator #2.
Suffix (Jr., Sr., etc): <i>Note: This field is not required by the System.</i>	Enter the legal suffix (if applicable) as it appears on the government-issued identification document (e.g. driver's license, passport, or Permanent Resident card) for Account Administrator #2.
Title: <i>Note: This field is not required by the System.</i>	Enter the title or position of Account Administrator #2.
Email:	Enter the business email address of Account Administrator #2.
Phone:	Enter the business phone number of Account Administrator #2.

## Contact Information

### Primary Contact Information

Primary Contact Information is initially captured in the Limited Account Request form.

Updating the Primary Contact Information will not create a new user account, remove Account Administrator #1, or update the profile of Account Administrator #1. Updating this section will update the Primary Contact Information of the contact that represents the company at the corporate level for NMLS Electronic Surety Bond Tracking. To remove and replace Account Administrator #1, contact the NMLS Call Center at 1-855-NMLS-123 (1-855-665-7123).

Data Element	Additional Instruction
First Name:	This data field is defaulted from the Primary Contact Information provided as part of the Limited Account Request form.  If Primary Contact Information needs to be updated to someone other than Account Administrator #1, enter the legal first name as it appears on the government-issued identification document (e.g. driver's license, passport, or Permanent Resident card) for the Primary Contact at a corporate level for NMLS Electronic Surety Bond Tracking.
Middle Name:  <i>Note: This field is not required by the System.</i>	This data field is defaulted from the Primary Contact Information provided as part of the Limited Account Request form.  If Primary Contact Information needs to be updated to someone other than Account Administrator #1, enter the legal middle name as it appears on the government-issued identification document (e.g. driver's license, passport, or Permanent Resident card) for the Primary Contact at a corporate level for NMLS Electronic Surety Bond Tracking.
Last Name:  Last Name(cont.):	This data field is defaulted from the Primary Contact Information provided as part of the Limited Account Request form.  If Primary Contact Information needs to be updated to someone other than Account Administrator #1, enter the legal last name as it appears on the government-issued identification document (e.g. driver's license, passport, or Permanent Resident card) for the Primary Contact at a corporate level for NMLS Electronic Surety Bond Tracking.

<p>Suffix (Jr., Sr., etc):</p> <p><i>Note: This field is not required by the System.</i></p>	<p>This data field is defaulted from the Primary Contact Information provided as part of the Limited Account Request form.</p> <p>If Primary Contact Information needs to be updated to someone other than Account Administrator #1, enter the legal suffix (if applicable) as it appears on the government-issued identification document (e.g. driver's license, passport, or Permanent Resident card) for the Primary Contact at a corporate level for NMLS Electronic Surety Bond Tracking.</p>
<p>Title:</p> <p><i>Note: This field is not required by the System.</i></p>	<p>This data field is defaulted from the Primary Contact Information provided as part of the Limited Account Request form.</p> <p>If Primary Contact Information needs to be updated to someone other than Account Administrator #1, enter the title or position for the Primary Contact at a corporate level for NMLS Electronic Surety Bond Tracking.</p>
<p>Email:</p>	<p>This data field is defaulted from the Primary Contact Information provided as part of the Limited Account Request form.</p> <p>If Primary Contact Information needs to be updated to someone other than Account Administrator #1, enter the business email address for the Primary Contact at a corporate level for NMLS Electronic Surety Bond Tracking.</p>
<p>Confirm Email:</p> <p>Confirm Email (cont.):</p> <p><i>Note: This field is only required if updating the email address in the field above.</i></p>	<p>This data field defaulted from the Primary Contact Information provided as part of the Limited Account Request form.</p> <p>If Primary Contact Information needs to be updated to someone other than Account Administrator #1, enter confirmation of the business email address for the Primary Contact at a corporate level for NMLS Electronic Surety Bond Tracking.</p>
<p>Phone:</p>	<p>This data field is defaulted from the Primary Contact Information provided as part of the Limited Account Request form.</p> <p>If Primary Contact Information needs to be updated to someone other than Account Administrator #1, enter the business phone number for the Primary</p>



Phone (cont.):	Contact at a corporate level for NMLS Electronic Surety Bond Tracking.
Fax: <i>Note: This field is not required by the System.</i>	This data field is defaulted from the Primary Contact Information provided as part of the Limited Account Request form.  If Primary Contact Information needs to be updated to someone other than Account Administrator #1, enter the fax number for the Primary Contact at the corporate level for NMLS Electronic Surety Bond Tracking.
Street Address 1:	Enter the business street address for the Primary Contact at a corporate level for NMLS Electronic Surety Bond Tracking.
Street Address 2: <i>Note: This field is not required by the System.</i>	Enter the PO Box, Apartment Number, or Unit Number (if applicable) for the Primary Contact at a corporate level for NMLS Electronic Surety Bond Tracking.
City:	Enter the city for the Primary Contact at a corporate level for NMLS Electronic Surety Bond Tracking.
State: <i>Note: Leave this field blank if the Primary Contact is located outside of the United States.</i>	Select the state for the Primary Contact at a corporate level for NMLS Electronic Surety Bond Tracking.
Country/Province:	Select the Country/Province for the Primary Contact at a corporate level for NMLS Electronic Surety Bond Tracking.
Postal Code: <i>Note: This field is not required if Primary Contact is located outside of the United States.</i>	Enter the Postal Code for the Primary Contact at a corporate level for NMLS Electronic Surety Bond Tracking.
<b>Secondary Contact Information</b>	
The Secondary Contact can be the same as Account Administrator #2. Information provided for Account Administrator #2 can be transferred to the data fields below. Address Information will require manual data entry even if Account Administrator #2 is the same as the Secondary Contact.	
<b>Data Element</b>	<b>Additional Instruction</b>
First Name:	Enter the legal first name as it appears on the government-issued identification document (e.g. driver's license, passport, or Permanent Resident card) for the Secondary Contact if the contact is different from Account Administrator #2.

<p>Middle Name:</p> <p><i>Note: This field is not required by the System.</i></p>	<p>Enter the legal middle name as it appears on the government-issued identification document (e.g. driver's license, passport, or Permanent Resident card) for the Secondary Contact if the contact is different from Account Administrator #2.</p>
<p>Last Name:</p>	<p>Enter the legal last name as it appears on the government-issued identification document (e.g. driver's license, passport, or Permanent Resident card) for the Secondary Contact if the contact is different from Account Administrator #2.</p>
<p>Suffix (Jr., Sr., etc):</p> <p><i>Note: This field is not required by the System.</i></p>	<p>Enter the legal suffix (if applicable) as it appears on the government-issued identification document (e.g. driver's license, passport, or Permanent Resident card) for the Secondary Contact if the contact is different from Account Administrator #2.</p>
<p>Title:</p> <p><i>Note: This field is not required by the System.</i></p>	<p>Enter the title or position of the Secondary Contact if the contact is different from Account Administrator #2.</p>
<p>Email:</p>	<p>Enter the business email address of the Secondary Contact if the contact is different from Account Administrator #2.</p>
<p>Confirm Email:</p>	<p>Enter confirmation of the business email address of the Secondary Contact if the contact is different from Account Administrator #2.</p>
<p>Phone:</p>	<p>Enter the business phone number of the Secondary Contact if the contact is different from Account Administrator #2.</p>
<p>Fax:</p>	<p>Enter the fax number of the Secondary Contact if the contact is different from Account Administrator #2.</p>
<p>Street Address 1:</p>	<p>Enter the business street address for the Secondary Contact at the corporate level for NMLS Electronic Surety Bond Tracking.</p>
<p>Street Address 2:</p> <p><i>Note: This field is not required by the System.</i></p>	<p>Enter the PO Box, Apartment Number, or Unit Number (if applicable), for the Secondary Contact at the corporate level for NMLS Electronic Surety Bond Tracking.</p>

City:	Enter the city for the Secondary Contact at a corporate level for NMLS Electronic Surety Bond Tracking.
State: <i>Note: Leave this filed blank if the Secondary Contact is located outside of the United States.</i>	Select the state for the Secondary Contact at a corporate level for NMLS Electronic Surety Bond Tracking.
Country/Province:	Select the Country/Province for the Secondary Contact at a corporate level for NMLS Electronic Surety Bond Tracking.
Postal Code <i>Note: This field is not required if Secondary Contact is located outside of the United States.</i>	Enter the Postal Code for the Secondary Contact at a corporate level for NMLS Electronic Surety Bond Tracking.
<b>Claims Representative</b>	
<b>Data Element</b>	<b>Additional Instruction</b>
Department/Person Name:	Enter the Primary Claims Representative Department/Person or Name.
Email:	Enter the Primary Claims Representative business email address.
Confirm Email:	Enter confirmation of the Primary Claims Representative business email address.
Phone:	Enter the Primary Claims Representative business phone number.
Fax:	Enter the Primary Claims Representative fax number.
Street Address 1:	Enter the business street address for the Primary Claims Representative.
Street Address 2: <i>Note: This field is not required by the System.</i>	Enter the PO Box, Apartment Number, or Unit Number (if applicable), for the Primary Claims Representative.
City:	Enter the city for the Primary Claims Representative.
State: <i>Note: Leave this filed blank if the Claims Representative is located outside of the United States.</i>	Select the state for the Primary Claims Representative.

Country/Province:	Select the Country/Province for the Country/Province for the primary Claims Representative.
Postal Code: <i>Note: This field is not required if Claims Representative is located outside of the United States.</i>	Enter the Postal Code for the primary Claims Representative.

**State Authorizations**

**State Authorizations**

<b>Data Element</b>	<b>Additional Instruction</b>
State(s):	Select the state(s) in which your company is authorized to do business.
Bond Limit:	Enter the associated bond limits for the selected states in which your company is authorized to do business.

**Underwriting Companies**

Provide information on related surety entities performing underwriting activities on behalf of your affiliated parent Surety Company. Each related surety entities will require entry of the data fields below.

**Company Information**

<b>Data Element</b>	<b>Additional Instruction</b>
Company Full Legal Name:	Enter the exact legal name as it appears on the related underwriting company's Articles of Incorporation, Articles/Certificate of Organization, Partnership Agreement, or other legal document.
NAIC Number:	Enter the unique identifier for the related underwriting company, assigned by the National Association of Insurance Commissioners. This number will be used throughout NMLS to identify the surety company.
IRS Employer Identification Number:	Enter the IRS Employer Identification Number (EIN) for the related underwriting company. The EIN is the Taxpayer Identification Number issued by the IRS. These numbers are also known as "FEIN" or "TIN."

<b>File Attachment (Underwriting Company)</b>	
<b>Data Element</b>	<b>Additional Instruction</b>
File (PDF):	<p>Upload the related surety entity's formation documents. If your upload contains multiple files, they must be merged into one PDF file. The PDF file should not be password protected or exceed 8MB.</p> <p>Required documentation include:</p> <p>The Corporate Charter or Articles of Incorporation (if a corporation), or The Articles of Organization and Operating Agreement (if a Limited Liability Company), or The Partnership Agreement (if a partnership of any form).</p> <p>Secretary of State Documentation: This includes a Certificate of Authority/Good Standing Certificate issued by the state's Secretary of State office, demonstrating that the entity exists or is authorized to do business in the state. Must be issued within the past 60 days.</p> <p>Verification of IES Employer Identification Number (EIN): This includes a letter from the IRS verifying the entity's SS4 or 147c.</p> <p><i>Note: Organizational Chart/Description is not required for Underwriting Company</i></p>
<b>State Authorizations</b>	
<b>Data Element</b>	<b>Additional Instruction</b>
State(s):	Select the state(s) in which your company is authorized to do business.
Bond Limit:	Enter the associated bond limits for the selected states in which your company is authorized to do business.
<b>File Attachment (Surety Company)</b>	
<b>Data Element</b>	<b>Additional Instruction</b>
File (PDF):	<p>Upload the related surety entity's formation documents. If your upload contains multiple files, they must be merged into one PDF file. The PDF file should not be password protected or exceed 8MB.</p> <p>Required documentation include:</p> <p>The Corporate Charter or Articles of Incorporation (if a corporation), or The Articles of Organization and</p>

File (PDF) (cont.):	<p>Operating Agreement (if a Limited Liability Company), or The Partnership Agreement (if a partnership of any form).</p> <p>Secretary of State Documentation: This includes a Certificate of Authority/Good Standing Certificate issued by the state’s Secretary of State office, demonstrating that the entity exists or is authorized to do business in the state. Must be issued within the past 60 days.</p> <p>Verification of IES Employer Identification Number (EIN): This includes a letter from the IRS verifying the entity’s SS4 or 147c.</p> <p>Organizational Chart/Description: Organizational chart of entity demonstrating if entity is owned by another entity or entities or person, or has subsidiaries or affiliated entities.</p>
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**Attestation and Submission**

I, **[Name of User]**, am authorized to make this submission on behalf of **[Company Name]** and confirm the information contained within this submission is true and accurate. Company agrees to and represents the following:

1. That the information and statements contained herein, including exhibits attached hereto, and other information contained herewith, all of which are made a part of this submission, are current, true and complete and are made under the penalty of perjury, or un-sworn falsification to authorities or similar provisions as provided by law;
2. To the extent any information previously submitted is not amended, such information remains accurate and complete;
3. That the SRR may conduct any investigation into the veracity of the information supplied by the Company, and any related individuals or entities, including but not limited to, investigation of their respective state authorization to conduct the business of making and selling of surety bonds and undertakings;
4. To keep the information contained in this record current and to submit accurate supplementary information on a timely basis; and
5. To comply with all applicable provisions of law, including the maintenance of accurate books and records, pertaining to the conduct of its surety business.

If the Company has knowingly made a false statement of a material fact in this record or in any documentation provided to support the foregoing record, then the foregoing account request may be denied.

On this date **[System Date – Day, Month Date, Year]**, I verify that I am the named person above and that I am authorized to attest to and submit this information on behalf of **[Company Name]**. I do solemnly swear or affirm under the penalties of perjury, or un-sworn falsification to authorities or

similar provisions as provided by law that I have reviewed the foregoing responses for accuracy and that they are true and correct.