



Connecticut Department of Banking 2019 Renewal Checklist

Instructions

Renewal requests must be submitted through NMLS by the date specified by your state regulator(s). [Click here to review all renewal deadlines, requirements and fees.](#)

Review the Renewal Checklist to determine any documentation required by the state outside of NMLS.

Note: Prior submission of certain requirements outlined on the checklist will enable this Office to process your application in a timelier manner.

ATTENTION: Effective October 1, 2018, Public Act 18-173, An Act Concerning Consumer Credit Licenses amends various consumer credit licensing provisions to require that any Connecticut activity be conducted from an office located in a “state” as defined in Section 36a-2 of the Connecticut General Statutes. “State” as defined in Section 36a-2(64) of the Connecticut General Statutes means “any state of the United States, the District of Columbia, any territory of the United States, Puerto Rico, Guam, American Samoa, the trust territory of the Pacific Islands, the Virgin Islands and the Northern Mariana Islands.” See attached Memorandum for Department’s “No Action Position Regarding the U.S. Location Requirement” for the period from October 1, 2018 through December 31, 2018. [see attached.](#)

License Types

- [All Company \(Main Office\) License Types](#)
- [All Branch License Types](#)
- [Check Cashing License](#)
- [Consumer Collection Agency License](#)
- [Debt Adjuster For-Profit License](#)
- [Debt Adjuster Non-Profit License](#)
- [Debt Negotiation License](#)
- [Exempt Registrants](#)
- [Lead Generator](#)
- [Money Transmission License](#)
- [Mortgage Broker License](#)
- [Mortgage Correspondent Lender License](#)
- [Mortgage Lender License](#)
- [Mortgage Loan Originator License](#)
- [Mortgage Loan Processor or Underwriter License](#)
- [Mortgage Servicer License](#)
- [Sales Finance Company License](#)
- [Small Loan Company License](#)
- [Student Loan Servicer](#)

Agency Contact Information

For all Non-Mortgage License Types contact:

Jean Wright at 860-240-8209

For all Mortgage License Types contact:

Amy Tran at 860-240-8236

Please send your questions and required documents to Consumer Credit Licensing at dob.ccl@ct.gov

*Connecticut Department of Banking
Consumer Credit Division
260 Constitution Plaza
Hartford, CT 06103-1800*

THE LICENSEE IS FULLY RESPONSIBLE FOR MEETING ALL OF THE REQUIREMENTS OF THE AGENCY FOR WHICH THEY ARE REQUESTING LICENSE RENEWAL. THE AGENCY-SPECIFIC REQUIREMENTS CONTAINED HEREIN ARE FOR GUIDANCE ONLY TO FACILITATE RENEWAL THROUGH THE NMLS. SHOULD YOU HAVE QUESTIONS, PLEASE CONSULT LEGAL COUNSEL.

NMLS ID Number	
Licensee Legal Name	

Connecticut - All Company (Main Office) License Types

Complete	Renewal Requirement Items	Submitted via...
<input type="checkbox"/>	MU1/MU2 Form: Review the licensed entity's MU1/MU2 forms. Make any/all necessary changes to ensure accuracy and completeness of these forms (e.g., residential/business address, contact information, disclosure questions, etc.). Please be aware of any additional documentation or steps that must be taken if a change in information occurs.	NMLS
<input type="checkbox"/>	Outstanding Fees: The licensee has paid all outstanding examination fees or other monies due to the Commissioner.	Mail
Note	Satisfy Other Requirements Listed Below: Find your entity's license type below and complete/satisfy all other requirements set forth therein.	N/A
Note	Returned ACH Payment: The commissioner may automatically suspend a license if the licensee receives a deficiency on the system indicating that the payment of renewal fees required was returned.	N/A

Updated 8/24/2018

Connecticut - All Branch License Types – If applicable

Complete	Renewal Requirement Items	Submitted via...
<input type="checkbox"/>	MU3 Form: Review the licensed entity's MU3 form. Make any/all necessary changes to ensure accuracy and completeness of this form (e.g., residential/business address, contact information, disclosure questions, etc.). Please be aware of any additional documentation or steps that must be taken if a change in information occurs.	NMLS
Note	Satisfy Other Requirements Listed Below: Find your entity's license type below and complete/satisfy all other requirements set forth therein.	N/A
Note	Returned ACH Payment: The commissioner may automatically suspend a license if the licensee receives a deficiency on the system indicating that the payment of renewal fees required was returned	N/A

Updated 8/24/2018

NMLS ID Number	
Licensee Legal Name	

Connecticut Check Cashing License – Main Office		
Complete	Renewal Requirement Items	Submitted via...
<input type="checkbox"/>	<p>Financial Statements: Each licensee is required to annually file an unaudited unconsolidated financial statement, including the licensee’s balance sheet and income statement prepared by an independent CPA.</p> <p>Note: Financial statements are uploaded separately under the Filing tab and <i>Financial Statement</i> submenu link. See the Financial Statements Quick Guide for instructions.</p>	NMLS
<input type="checkbox"/>	<p>Bank Information: Must have available and continuously maintain liquid assets of at least ten thousand dollars (for the main office and each general facility branch) or at least two thousand five hundred dollars (for the main office and each limited facility branch).</p> <p>Provide two months of recent bank statements showing the account numbers and the account balances for all operating accounts for all licensed locations.</p> <p>Please email to the CT Department of Banking to the email address listed on cover page.</p> <p>May be submitted in advance and recommended to do so by October 15, 2018.</p>	Email to CT DOB
<input type="checkbox"/>	<p>Connecticut Workers’ Compensation: Upload the following completed form and submit a certificate of insurance if applicable.</p> <p>May be submitted in advance and recommended to do so by October 15, 2018.</p>	<p>Upload in NMLS: under the Document Type Company Staffing and Internal Policies in the <i>Document Uploads</i> section of the Company Form (MU1).</p>

Updated 8/24/2018

NMLS ID Number	
Licensee Legal Name	

Connecticut Consumer Collection Agency License – Main Office		
Complete	Renewal Requirement Items	Submitted via...
<input type="checkbox"/>	<p>Financial Statement: Upload an unaudited financial statement for which the financial data has been assembled by a CPA, but not reviewed for accuracy. Financial statements should include a balance sheet, income statement and statement of cash flows and all relevant notes thereto. You will be notified if the Commissioner requires additional information.</p> <p>3rd Party Collectors ONLY: The financial statement provided should evidence that the applicant has a minimum tangible net worth of fifty thousand dollars. Your notes must also reflect all assets held in trust in client trust accounts or alternatively, the balance sheet submitted can include client trust account information (by providing a line item in cash assets to reflect restricted funds held on behalf of the client and providing a line item in liabilities to reflect “due clients” information).</p> <p>Note: Financial statements are uploaded separately under the Filing Tab and <i>Financial Statement</i> submenu link. See the Financial Statements Quick Guide for instructions.</p>	NMLS
<input type="checkbox"/>	<p>Supplemental Disclosure Question: Complete the following form and email it to the CT Department of Banking to the email address listed on page 1.</p> <p>May be submitted in advance and recommended to do so by October 15, 2018.</p>	Email to CT DOB
<input type="checkbox"/>	<p>Connecticut Workers’ Compensation: Upload the following completed form and submit a certificate of insurance if applicable.</p> <p>May be submitted in advance and recommended to do so by October 15, 2018.</p>	<p>Upload in NMLS: under the Document Type Company Staffing and Internal Policies in the Document Uploads section of the Company Form (MU1).</p>

Updated 8/24/2018

NMLS ID Number	
Licensee Legal Name	

Connecticut Debt Adjuster For-Profit License – Main Office		
Complete	Renewal Requirement Items	Submitted via...
<input type="checkbox"/>	<p>Financial Statements: Upload an audited financial statement prepared by a CPA in accordance with Generally Accepted Accounting Principles. Financial statements should include a balance sheet, income statement, statement of cash flows and all relevant notes thereto. You will be notified if the Commissioner requires additional information.</p> <p>Note: Financial statements are uploaded separately under the Filing Tab and <i>Financial Statement</i> submenu link. See the Financial Statements Quick Guide for instructions.</p>	NMLS
<input type="checkbox"/>	<p>Supplemental Disclosure Question: Complete the following form and email it to the CT Department of Banking to the email address listed on page 1.</p> <p>May be submitted in advance and recommended to do so by October 15, 2018.</p>	Email to CT DOB
<input type="checkbox"/>	<p>Report and Bond Calculation Worksheet: Upload the following completed form.</p> <p>May be submitted in advance and recommended to do so by October 15, 2018.</p>	<p>Upload in NMLS: under the Document Type Surety Bond in the <i>Document Uploads</i> section of the Company Form (MU1).</p>
<input type="checkbox"/>	<p>Bond Riders/Addendums: If new bond riders or addendums are required as a result of the Report and Bond Calculation Worksheet, mail originals of those new riders or addendums to the CT Department of Banking at the address listed on page 1 and upload them to NMLS.</p> <p>May be submitted in advance and recommended to do so by October 15, 2018.</p>	<p>Mail and Upload in NMLS: under the Document Type Surety Bond in the <i>Document Uploads</i> section of the Company Form (MU1).</p>
<input type="checkbox"/>	<p>Connecticut Workers' Compensation: Upload the following completed form and submit a certificate of insurance if applicable.</p> <p>May be submitted in advance and recommended to do so by October 15, 2018.</p>	<p>Upload in NMLS: under the Document Type Company Staffing and Internal Policies in the <i>Document Uploads</i> section of the Company Form (MU1).</p>

Updated 8/24/2018

NMLS ID Number		
Licensee Legal Name		
Connecticut Debt Adjuster Non-Profit License – Main Office		
Complete	Renewal Requirement Items	Submitted via...
<input type="checkbox"/>	<p>Financial Statements: Upload an audited financial statement prepared by a CPA in accordance with Generally Accepted Accounting Principles. Financial statements should include a balance sheet, income statement, statement of cash flows and all relevant notes thereto. You will be notified if the Commissioner requires additional information.</p> <p>Note: Financial statements are uploaded separately under the Filing Tab and <i>Financial Statement</i> submenu link. See the Financial Statements Quick Guide for instructions.</p>	NMLS
<input type="checkbox"/>	<p>Supplemental Disclosure Question: Complete the following form and email it to the CT Department of Banking to the email address listed on page 1.</p> <p>May be submitted in advance and recommended to do so by October 15, 2018.</p>	Email to CT DOB
<input type="checkbox"/>	<p>501(c) (3) Status: Upload the most recent copy of your organization’s IRS determination letter that you received indicating you have maintained your 501(c)(3) tax exempt status.</p> <p>May be submitted in advance and recommended to do so by October 15, 2018.</p>	<p>Upload in NMLS: under the Document Type Formation Document in the <i>Document Uploads</i> section of the Company Form (MU1).</p>
<input type="checkbox"/>	<p>Report and Bond Calculation Worksheet: Upload the following completed form.</p> <p>May be submitted in advance and recommended to do so by October 15, 2018.</p>	<p>Upload in NMLS: under the Document Type Surety Bond in the <i>Document Uploads</i> section of the Company Form (MU1).</p>
<input type="checkbox"/>	<p>Bond Riders/Addendums: If new riders or addendums are required as a result of the Report and Bond Calculation Worksheet, mail originals of those new riders or addendums to the CT Department of Banking at the address listed on page 1 and upload them in NMLS.</p> <p>May be submitted in advance and recommended to do so by October 15, 2018.</p>	<p>Mail and Upload in NMLS: under the Document Type Surety Bond in the <i>Document Uploads</i> section of the Company Form (MU1).</p>
<input type="checkbox"/>	<p>Connecticut Workers’ Compensation: Upload the following completed form and submit a certificate of insurance if applicable.</p> <p>May be submitted in advance and recommended to do so by October 15, 2018.</p>	<p>Upload in NMLS: under the Document Type Company Staffing and Internal Policies in the <i>Document Uploads</i> section of the Company Form (MU1).</p>

Updated 8/24/2018

NMLS ID Number	
Licensee Legal Name	

Connecticut Debt Negotiation License – Main Office		
Complete	Renewal Requirement Items	Submitted via...
<input type="checkbox"/>	<p>Financial Statements: Upload an unaudited financial statement for which the financial data has been assembled by a CPA but not reviewed for accuracy. Financial statements should include a balance sheet, income statement, and statement of cash flows and all relevant notes thereto. You will be notified if the Commissioner requires additional information.</p> <p>Note: Financial statements are uploaded separately under the Filing Tab and <i>Financial Statement</i> submenu link. See the Financial Statements Quick Guide for instructions.</p>	NMLS
<input type="checkbox"/>	<p>Supplemental Disclosure Question: Complete the following form and email it to the CT Department of Banking to the email address listed on page 1.</p> <p>May be submitted in advance and recommended to do so by October 15, 2018.</p>	Email to CT DOB
<input type="checkbox"/>	<p>Report and Bond Calculation Worksheet: <i>If you are engaged in the business of negotiating residential mortgage loans on behalf of mortgagors,</i> you are required to confirm that your existing bond is in the statutorily required amount. Upload the following completed attached form.</p> <p>May be submitted in advance and recommended to do so by October 15, 2018.</p>	Upload in NMLS: under the Document Type Surety Bond in the <i>Document Uploads</i> section of the Company Form (MU1).
<input type="checkbox"/>	<p>Connecticut Workers' Compensation: Upload the following completed form and submit a certificate of insurance if applicable.</p> <p>May be submitted in advance and recommended to do so by October 15, 2018.</p>	Upload in NMLS: under the Document Type Company Staffing and Internal Policies in the <i>Document Uploads</i> section of the Company Form (MU1).

Updated 8/24/2018

NMLS ID Number	
Licensee Legal Name	

Connecticut Money Transmission License

Complete	Renewal Requirement Items	Submitted via...
<input type="checkbox"/>	<p>Financial Statements: Upload an audited financial statement for the most recent fiscal year.</p> <ul style="list-style-type: none"> ○ If applicant is a wholly-owned subsidiary of another corporation, (a) the applicant's or the parent corporation's most recent audited consolidated annual financial statement and (b) the applicant's most recent audited unconsolidated annual financial statement, including balance sheet, receipts, and disbursements for the preceding year ○ If the applicant is a publically traded entity, a copy of the most recent 10-K report filed with the SEC ○ If the applicant is a wholly-owned subsidiary of a publicly traded company, a copy of the parent company's most recent 10-K report filed with the SEC ○ If the applicant or parent company of a wholly owned subsidiary applicant is publicly traded on a foreign exchange, documentation similar to the 10-K report filed with the applicable securities regulator. ○ The commissioner may also require additional reports and/or supporting documents as deemed necessary. <p>Note: Financial statements are uploaded separately under the Filing Tab and <i>Financial Statement</i> submenu link. See the Financial Statements Quick Guide for instructions.</p>	NMLS
<input type="checkbox"/>	<p>Virtual Currency: You must answer the attached additional disclosure question regarding whether your money transmission will include the transmission of monetary value in the form of virtual currency and email it to the CT Department of Banking to the email address listed on page 1.</p> <p>May be submitted in advance and recommended to do so by October 15, 2018.</p>	Email to CT DOB
<input type="checkbox"/>	<p>Permissible Investments and Outstanding Money Transmissions: Upload the following information as of each of the following dates:</p> <p>(a) the date of the most recent audited consolidated annual financial statement required by Section 36a-598 for this renewal application; and (b) the date that is no earlier than thirty days prior to the filing of this renewal application.</p> <p>Information required:</p> <ul style="list-style-type: none"> ○ a list of the company's permissible investments and the book and market value of such investments; and ○ the total dollar amount of the entity's aggregate outstanding money transmissions, segregated between those outstanding in the State of 	Upload in NMLS: under the Document Type Permissible Investments in the <i>Document Uploads</i> section of the Company Form (MU1).

	<p>Connecticut and those outstanding everywhere else.</p> <ul style="list-style-type: none">○ May be submitted in advance and recommended to do so by October 15, 2018.	
--	--	--

Updated 8/24/2018

NMLS ID Number	
Licensee Legal Name	

Connecticut Money Transmission License		
Complete	Renewal Requirement Items	Submitted via...
<input type="checkbox"/>	<p>Report and Bond Calculation Worksheet: <i>If you have answered the Virtual Currency disclosure question in the negative, complete the Bond Calculation Worksheet, upload the following completed form.</i></p> <p>If you have completed the virtual currency disclosure question in the affirmative, Section 36a-602(a) provides that, the bond that is required “shall be in a principal sum as determined by the commissioner and shall be calculated reasonably to address the current and prospective volatility of the market in such currency or currencies.”</p> <p>May be submitted in advance and recommended to do so by October 15, 2018.</p>	<p>Upload in NMLS: under the Document Type <u>Surety Bonds</u> in the <u>Document Uploads</u> section of the Company Form (MU1).</p>
<input type="checkbox"/>	<p>Investment in Lieu of all or part of Surety Bond: If you have been previously approved to use investments in lieu of all or part of the surety bond, and you have completed the virtual currency disclosure question in the negative, and the bond amount required has changed based on your Bond Calculation Worksheet completed in connection with this renewal application, you must also: (a) provide a list of any proposed changes to investments to meet the new bond amount in accordance with subsection (d) of section 36a-602 of the Connecticut General Statutes, and the book and market values of any such investments as of: (i) the date of the most recent audited consolidated annual financial statement required by Section 36a-598 as amended by Public Act 17-233 for this renewal application; and (ii) the date that is no earlier than thirty days prior to the filing of this renewal application; and (b) an Authorization to Disclose Deposit Information for any proposed new/changed investments. The foregoing documents should be emailed to the CT Department of Banking to the email address listed on page 1.</p> <p>May be submitted in advance and recommended to do so by October 15, 2018.</p>	<p>Email to CT DOB</p>
<input type="checkbox"/>	<p>Connecticut Workers’ Compensation: Upload the following completed form and submit a certificate of insurance if applicable.</p> <p>May be submitted in advance and recommended to do so by October 15, 2018.</p>	<p>Upload in NMLS: under the Document Type <u>Company Staffing and Internal Policies</u> in the <u>Document Uploads</u> section of the Company Form (MU1).</p>

Updated 8/24/2018

NMLS ID Number	
Licensee Legal Name	

Connecticut Mortgage Lender License, Mortgage Correspondent Lender License, Mortgage Broker License & Exempt Registrants – Main Office

Complete	Renewal Requirement Items	Submitted via...
<input type="checkbox"/>	<p>Mortgage Surety Bond: See attached coverage chart. If the amount of coverage required has changed, please mail original surety bond rider to the CT Department of Banking at the address listed on page 1 and upload a copy in NMLS.</p> <p>May be submitted in advance of the renewal period and recommended doing so by October 15, 2018.</p> <p>Note: Surety Bond Continuation Certificates are NOT required.</p>	<p>Mail and Upload in NMLS: under the Document Type <u>Surety Bond</u> in the <i>Document Uploads</i> section of the Company Form (MU1).</p>
<input type="checkbox"/>	<p>Mortgage Call Reports: The entity will not be eligible to seek renewal without having filed all MCRs required to date.</p>	<p>NMLS</p>
<input type="checkbox"/>	<p>If you are a Mortgage Lender engaged in Servicing as permitted by Section 36a-718(b)(4) of the Connecticut General Statutes, provide the following:</p> <p>(1) Schedule of Costs and Fees – If changed since last submission, please provide an updated schedule. Please be aware you are required to submit the Schedule of Cost and Fees anytime it changes.</p> <p>(2) Fidelity Bond and Errors and Omissions Coverage: Ensure that the fidelity bond and the errors and omissions policies previously submitted to the Department are current. Please upload a Certificate of Liability Insurance or comparable document from the issuer or its designated agent that confirms that these policies remain in full force and effect. If you have a new fidelity bond or E&O policy, or have changed coverage amounts, FULL policy(ies), including Declaration Page and Certificate of Insurance, must be uploaded in NMLS.</p> <p>May be submitted in advance of the renewal period and recommended doing so by October 15, 2018.</p>	<p>Email to CT DOB</p> <p>AND</p> <p>Upload in NMLS: under the Document Type <u>Fidelity Bond</u> or <u>Errors and Omissions (Insurance Policy)</u> in the Document Uploads section of the Company Form (MU1).</p>
<input type="checkbox"/>	<p>Exempt Registrants Only: Complete the attached form indicating the basis for your claimed exemption and email to the CT Department of Banking to the email address listed on page 1.</p> <p>May be submitted in advance of the renewal period and recommended doing so by October 15, 2018.</p>	<p>Email to CT DOB</p>

<input type="checkbox"/>	<p>Connecticut Workers' Compensation: Upload the following completed <u>form</u> and submit a certificate of insurance if applicable.</p> <p>May be submitted in advance and recommended to do so by October 15, 2018.</p>	<p>Upload in NMLS: under the Document Type <u>Company Staffing and Internal Policies</u> in the <i>Document Uploads</i> section of the Company Form (MU1).</p>
<p>NOTE</p>	<p>Qualifying Individual: A Qualifying Individual (on-site manager) is required to:</p> <ul style="list-style-type: none"> • have supervisory authority over the lending or brokerage activities of the licensee and is responsible for the actions of the licensee • hold physical employment at the main office location • have at least three years' of experience in the mortgage business within the five years immediately preceding the application • meet minimum criminal and credit background check requirements • reside not more than one hundred miles from the location of the office 	

Updated 8/24/2018

Connecticut Lead Generator License		
Complete	Renewal Requirement Items	Submitted via...
<input type="checkbox"/>	<p>Connecticut Workers' Compensation: Upload the following completed form and submit a certificate of insurance if applicable.</p> <p>May be submitted in advance and recommended to do so by October 15, 2018.</p>	<p>Upload in NMLS: under the Document Type Company Staffing and Internal Policies in the <i>Document Uploads</i> section of the Company Form (MU1).</p>

Updated 8/24/2018

Connecticut Mortgage Loan Originator License & Mortgage Loan Processor or Underwriter License		
Complete	Renewal Requirement Items	Submitted via...
<input type="checkbox"/>	<p>MU4: Review your MU4 form. Make any/all necessary changes to ensure accuracy and completeness of this form (e.g., residential/business address, contact information, disclosure questions, etc.). Please be aware of any additional documentation or steps that must be taken if a change in information occurs.</p>	NMLS
<input type="checkbox"/>	<p>Criminal Background Check: You will be required to submit a Criminal Background Check Authorization Request</p>	NMLS
<input type="checkbox"/>	<p>Financial Responsibility Requirements: You will be required to submit an authorization for a credit report.</p>	NMLS
<input type="checkbox"/>	<p>Explanation of Derogatory Credit Accounts: If applicable, submit detailed explanation of any derogatory credit accounts along with proof of payoffs, payment arrangements and evidence of payments made, or evidence a formal dispute filed (documents must be dated.) Also, items such as bankruptcy, foreclosure actions, outstanding judgements or liens, or delinquent child support payments should be addressed in the Disclosure Section of your MU2/MU4 filing.</p>	<p>Upload in NMLS: Under the Document type Credit Report Explanations in the Document Uploads section of the Individual Form (MU4).</p>
<input type="checkbox"/>	<p>Continuing Education: You will not be eligible to seek renewal unless you have completed any outstanding annual CE requirements (at least 8 hours of specified courses).</p>	NMLS
NOTE	<p>Sponsorship: You will not be eligible to seek renewal without an active sponsorship by a CT licensed mortgage lender, mortgage correspondent lender, mortgage broker, debt negotiator or by an exempt registrant.</p>	N/A
NOTE	<p>Commutable Distance: The Associated/sponsoring Branch shall be within a one-hundred-mile distance from where such licensee resides</p>	N/A

NOTE	Returned ACH Payment: The commissioner may automatically suspend a mortgage loan originator or a loan processor or underwriter license if the licensee receives a deficiency on the system indicating that the payment of renewal fees required was returned.	N/A
-------------	--	------------

Updated 8/24/2018

NMLS ID Number	
Licensee Legal Name	

Connecticut Mortgage Servicer License – Main Office		
Complete	Renewal Requirement Items	Submitted via...
<input type="checkbox"/>	<p>Schedule of Costs and Fees - If changed since last submission, please provide an updated schedule. Please be aware you are required to submit the Schedule of Cost and Fees anytime it changes.</p>	Email to CT DOB
<input type="checkbox"/>	<p>Fidelity Bond and Errors and Omissions Coverage: Ensure that the fidelity bond and the errors and omissions policies previously submitted to the Department are current. Please upload a Certificate of Liability Insurance or comparable document from the issuer or its designated agent that confirms that these policies remain in full force and effect.</p> <p>If you have a new fidelity bond or E&O policy, or have changed coverage amounts, FULL policy(ies), including Declaration Page and Certificate of Insurance, must be uploaded in NMLS.</p> <p>May be submitted in advance of the renewal period and recommended doing so by October 15, 2018.</p>	<p>Upload in NMLS: under the Document Type <u>Fidelity Bond or Errors and Omissions (Insurance Policy)</u> in the <i>Document Uploads</i> section of the Company Form (MU1).</p>
<input type="checkbox"/>	<p>Connecticut Workers' Compensation: Upload the following completed <u>form</u> and submit a certificate of insurance if applicable.</p> <p>May be submitted in advance and recommended to do so by October 15, 2018.</p>	<p>Upload in NMLS: under the Document Type <u>Company Staffing and Internal Policies</u> in the <i>Document Uploads</i></p>
NOTE	<p>Qualifying Individual: A Qualifying Individual (on-site manager) is required to:</p> <ul style="list-style-type: none"> • hold physical employment at the main office location • have at least three years of experience in the mortgage servicing business within the five years immediately preceding the application • meet minimum criminal and credit background check requirements • resides not more than one hundred miles from the location of the office 	N/A
NOTE	<p>Returned ACH Payment: The commissioner may automatically suspend a mortgage servicer license if the licensee receives a deficiency on the system indicating that the payment required by section 36a-719b was returned.</p>	N/A

Updated 8/24/2018

Connecticut Sales Finance Company License – Main Office

Complete	Renewal Requirement Items	Submitted via...
<input type="checkbox"/>	<p>Financial Statements: Upload an unaudited financial statement for which the financial data has been assembled by a CPA but not reviewed for accuracy. Financial statements should include a balance sheet, income statement, and statement of cash flows and all relevant notes thereto. The commissioner may also require additional reports and/or supporting documents as deemed necessary.</p> <p>Note: Financial statements are uploaded separately under the Filing Tab and <i>Financial Statement</i> submenu link. See the Financial Statements Quick Guide for instructions.</p>	<p>NMLS</p>
<input type="checkbox"/>	<p>Connecticut Workers' Compensation: Upload the following completed <u>form</u> and submit a certificate of insurance if applicable.</p> <p>May be submitted in advance and recommended to do so by October 15, 2018.</p>	<p>Upload in NMLS: under the Document Type <u>Company Staffing and Internal Policies</u> in the <i>Document Uploads</i> section of the Company Form (MU1).</p>

Updated 8/24/2018

Connecticut Small Loan Company License – Main Office

Complete	Renewal Requirement Items	Submitted via...
<input type="checkbox"/>	<p>Financial Statements: Upload an audited financial statement prepared by a CPA in accordance with Generally Accepted Accounting Principles dated within 90 days of your fiscal year end. Financial statements shall include a balance sheet, income statement, and statement of cash flows and all relevant notes thereto.</p> <p>You must have a minimum of \$50,000 continuously available for each licensed location. This requirement may be met by cash on hand, cash in bank, or lines of credit.</p> <p>Note: Financial statements are uploaded separately under the Filing Tab and <i>Financial Statement</i> submenu link. See the Financial Statements Quick Guide for instructions</p>	<p>NMLS</p>
<input type="checkbox"/>	<p>Connecticut Workers' Compensation: Upload the following completed <u>form</u> and submit a certificate of insurance if applicable.</p> <p>May be submitted in advance and recommended to do so by October 15, 2018.</p>	<p>Upload in NMLS: under the Document Type <u>Company Staffing and Internal Policies</u> in the <i>Document Uploads</i> section of the Company Form (MU1).</p>

Updated 8/24/2018

Connecticut Student Loan Servicer License – Main Office

Complete	Renewal Requirement Items	Submitted via...
<input type="checkbox"/>	<p>Financial Statement: Upload an unaudited financial statement for which the financial data has been assembled by a CPA but not reviewed for accuracy. Financial statements should include a balance sheet, income statement, and statement of cash flows and all relevant notes thereto. You will be notified if the Commissioner requires additional information.</p> <p>Note: Financial statements are uploaded separately under the Filing Tab and <i>Financial Statement</i> submenu link. See the Financial Statements Quick Guide for instructions.</p>	<p>NMLS</p>
<input type="checkbox"/>	<p>Connecticut Workers' Compensation: Upload the following completed <u>form</u> and submit a certificate of insurance if applicable.</p> <p>May be submitted in advance and recommended to do so by October 15, 2018.</p>	<p>Upload in NMLS: under the Document Type <u>Company Staffing and Internal Policies</u> in the <i>Document Uploads</i> section of the Company Form (MU1).</p>

Updated 8/24/2018