



Company New Application Agency Requirements



INDIANA DFI – EXEMPT COMPANY REGISTRATION

This document includes instructions for an Exempt Company Registration request. If you need to complete an application for a company, refer to the appropriate new application checklists.

Total registration costs: \$100 NMLS processing fee for Company Form. All fees are collected through the NMLS and ARE NOT REFUNDABLE.

Companies that are specifically exempt from licensing in Indiana under IC 24-4.4-1-202(b), but that employ individuals required to be licensed under Title 750, Article 9 – SAFE Mortgage Lenders and Originators, must register their company with Indiana DFI through NMLS by filing a Company Form.

Use the checklist below to complete the requirements for Indiana DFI.

The checklist provides instructions and requirements for information to be entered in NMLS, the documents that must be uploaded into NMLS, as well as the documents that must be sent outside NMLS.

For help with the NMLS application, see the [Quick Guide for submitting a complete Company Form](#) filing through NMLS.

Agency specific requirements marked **Filed in NMLS** must be completed and/or uploaded in NMLS; this information will not be viewable by the Department until the application has been submitted through NMLS.

For help with document uploads, see the [Quick Guide for document upload in NMLS](#).

Note: Financial statements are uploaded separately under the Filing tab, “Financial Statement” submenu. All other documents are uploaded in the Filing tab under the “Document Upload” section of the Company Form.

Agency specific requirements marked **Filed Outside NMLS** on the checklist below must be received within five business days of the electronic submission of your application through the NMLS at the following:

For U.S. Postal Service or Overnight Delivery

*Department of Financial Institutions
Division of Consumer Credit
30 South Meridian Street, Suite 300
Indianapolis, IN 46204*

NMLS Company Unique ID Number: _____

Applicant Legal Name: _____

FILED IN NMLS	FILED OUTSIDE NMLS	NOT APPLICABLE	INDIANA DFI – EXEMPT COMPANY REGISTRATION
N/A	<input type="checkbox"/>	N/A	Exemption Claimed: Please mail a written explanation citing the exemption under IC 24-4.4 your company is claiming.
<input type="checkbox"/>	N/A	N/A	Resident/Registered Agent: The Registered Agent entered on Company Form must be the same person recorded with the Secretary of State. If you are not an out of state company and are not required to register with the Secretary of State, list the individual listed as the <i>Contact Person</i> for the company on the Company Form.
<input type="checkbox"/>	N/A	N/A	Direct Owner/Executive Officer: At least one Individual must be listed in the <i>Direct Owner/Executive Officer</i> section of the Company Form and be listed as a <i>Control Person</i> with an Individual Form completed. This individual should have the authority to make decisions on behalf of the company.
N/A	N/A	N/A	Qualifying Individual: Qualifying Individual field does not require an individual; this field can be left blank on the NMLS Company Form.
<input type="checkbox"/>	N/A	<input type="checkbox"/>	Disclosure Questions: Provide an explanation for any “Yes” response. Upload a copy of any applicable orders or supporting documents in NMLS.
<input type="checkbox"/>	N/A	N/A	Surety Bond: Submit an Electronic Surety Bond via NMLS in the amount of \$100,000 furnished and submitted by a surety company authorized to conduct business in Indiana. The name of the principal insured on the bond must match exactly the full legal name of applicant as authorized by the Indiana Secretary of State. See the ESB Adoption Table and the ESB for NMLS Licensees page of the NMLS Recourse Center for more information.

The regulator will review the filing and all required documents and communicate with you through NMLS. To review your status or see detailed communication from the regulator, click on the Composite View tab and then click on View License/Registration in NMLS. See [License Status Quick Guide](#) for instructions.

WHO TO CONTACT – Contact Division of Consumer Credit licensing staff by phone at 317-453-2566 or send your questions via e-mail to: dfilicensing@dfi.in.gov for additional assistance.

THE APPLICANT IS FULLY RESPONSIBLE FOR ALL OF THE REQUIREMENTS 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.