



IN-SOS Principal Manager License Surrender Checklist (Individual)

CHECKLIST SECTIONS

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GENERAL INFORMATION

Instruction

1. File the surrender request through NMLS within 2 days of terminating business under the license.
2. There is no fee to surrender.
3. No documents should be sent to the Indiana Secretary of State for surrender. We may request additional information upon review of your surrender; watch your email for such requests.

Help Resources

- [Individual License Surrender Requests Quick Guide](#)
- [License Status Review & Definitions Quick Guide](#)

Agency Contact Information

Contact *Indiana Secretary of State, Securities Division* licensing staff by phone at [317-232-6681](tel:317-232-6681) or send your questions via email to arsmock@sos.in.gov for additional assistance.

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

REQUIREMENTS COMPLETED IN NMLS

Complete	IN-SOS Principal Manager License	Submitted via...
<input type="checkbox"/>	Submission of Surrender Request through Individual Form (MU4): Request the surrender of the license through the submission of the Individual Form (MU4). See the Individual License Surrender Requests Quick Guide for instructions.	NMLS

REQUIREMENTS SUBMITTED OUTSIDE OF NMLS

Complete	IN-SOS Principal Manager License	Submitted via...
No items are required to be submitted outside of NMLS for this license/registration at this time.		