



# OH Third Party Processing and/or Underwriting Letter of Exemption Surrender Checklist (Company)

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## CHECKLIST SECTIONS

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## GENERAL INFORMATION

### Instructions

1. File the surrender request through NMLS.
2. There is no fee to surrender.
3. Surrendering your letter of exemption does not preclude you from any other obligations, such as providing documents for an exam, fines/fees, outstanding orders, etc.
4. Once the Division has accepted the voluntary surrender, books and records must remain accessible to DFI in compliance with the applicable section of the statute. In the “Books and Records” section of the Form MU1, update/confirm the name, title, address, and telephone number of the record custodian responsible for maintaining documents/information. The company is required to maintain books and records for four (4) years after the date of the final entry on the account, as required by ORC 1322.34(B) and OAC 1301:8-7-06. The Division may request additional information upon review of your surrender.

### Helpful Resources

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

### Agency Contact Information

Contact a licensing staff member at (614) 644-6484 or [webdfi-cf@com.state.oh.us](mailto:webdfi-cf@com.state.oh.us).

THE EXEMPT ENTITY IS FULLY RESPONSIBLE FOR ALL OF THE REQUIREMENTS OF THE SURRENDER FOR WHICH THEY ARE REQUESTING. THE AGENCY SPECIFIC REQUIREMENTS CONTAINED HEREIN ARE FOR GUIDANCE ONLY TO FACILITATE SURRENDER IN NMLS. SHOULD YOU HAVE QUESTIONS, PLEASE CONSULT LEGAL COUNSEL.

**REQUIREMENTS COMPLETED IN NMLS**

Complete	OH Third Party Processing and/or Underwriting Exemption	Submitted via...
<input type="checkbox"/>	<b>Books and Records Location:</b> In the “Books and Records” section of the Form MU1, update/confirm the name, title, address, and telephone number of the record custodian responsible for maintaining documents/information.	<b>NMLS</b>
<input type="checkbox"/>	<b>Submission of Surrender Request through Company Form (MU1):</b> Request the surrender of the letter of exemption through the submission of the Company Form (MU1). See the <a href="#">Company License Surrender Requests Quick Guide</a> for instructions.	<b>NMLS</b>

**REQUIREMENTS SUBMITTED OUTSIDE OF NMLS**

No items are required to be submitted outside of NMLS for this letter of exemption at this time.