



New Branch Certificate Application Checklist

Agency Specific Requirements



RHODE ISLAND DEBT COLLECTOR BRANCH CERTIFICATE

This document includes instructions for a new branch application request. If you need to complete a new application for a company main office location; refer to the appropriate new application checklist.

Note: The company form (corporate location) must request a new application prior/or simultaneously with a branch certificate application form.

Total License costs: \$750 including the NMLS processing fee. (Include if applicable) A \$15 fee for a credit report will be added if one has not been authorized through NMLS in the past 30 days for the branch manager). \$36.25 will be added per FBI Criminal Background Check authorization. Fees collected through the NMLS ARE NOT REFUNDABLE.

Use the checklist below to complete the requirements for RI Division of Banking (“Division”):

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 Branch Form](#) through NMLS

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

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

Note: There are no agency specific requirements that need to be submitted to the Division. If the Division determines that further information is needed in order to approve your application, then the Division will post a deficiency or requirement on NMLS instructing you to submit any and all supporting documentation to the Division either in NMLS or outside NMLS. If Applicant needs to send correspondence to the Division please send it to the following address:

*RI Department of Business Regulation
Division of Banking
1511 Pontiac Avenue, Building 68-1
Cranston, RI 02920*

NMLS **Branch** Unique ID Number: _____

Applicant Legal Name: _____

FILED IN NMLS	ATTACHED	NOT APPLICABLE	RHODE ISLAND DEBT COLLECTOR BRANCH CERTIFICATE
<input type="checkbox"/>	N/A	<input type="checkbox"/>	Branch Manager: A branch manager must be designated for each licensed location. Branch manager is defined as an individual whose principal office is physically located in, who is in charge of, and who is responsible for the business operations of a branch office.
<input type="checkbox"/>	N/A	<input type="checkbox"/>	Credit Report: Branch Managers are required to authorize a credit report through NMLS. The Branch Manager will be required to complete an Identity Verification Process (IDV) along with an individual attestation before a license request can be filed through NMLS.
<input type="checkbox"/>	N/A	<input type="checkbox"/>	<p>MU2 Individual FBI Criminal Background Check Requirements: The following Individuals, as specified below, on the Branch Form (MU3) are required to authorize a FBI criminal background check (CBC) through NMLS.</p> <p>Branch Managers</p> <ul style="list-style-type: none"> All Qualifying Individuals, unless licensed as a Rhode Island Mortgage Loan Originator <p>After the authorization of the FBI criminal background check through the submission of the Company Form (MU1) and Individual Form (MU2), you must schedule an appointment to be fingerprinted.</p> <p>See the Quick Guides - Company section of the NMLS Resource Center for more information.</p> <p>Note: If you are able to 'Use Existing Prints' to process the FBI criminal background check, you DO NOT have to schedule an appointment. NMLS will automatically submit the fingerprints on file.</p>
<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	<input type="checkbox"/>	Branch Written Agreement: Upload a copy of the agreement between the licensee and branch manager, in compliance with applicable state and federal law.

The Division 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 instruction.

WHO TO CONTACT – Contact licensing staff by phone at (401) 462-9503 or send your questions via e-mail to dbr.bankinquiry@dbr.ri.gov for additional assistance.

THE APPLICANT 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 THE NMLS. SHOULD YOU HAVE QUESTIONS, PLEASE CONSULT LEGAL COUNSEL.