



## Company New Application Checklist Agency Requirements



### WISCONSIN EXEMPT COMPANY REGISTRATION

This document includes instructions for a depository institution to apply for a Registered Entity Exemption. If you need to complete a new application for a branch location (authorized delegates are not considered a branch in NMLS) or individual, refer to the appropriate new application checklists.

**Total Registration costs: \$1,100** including the NMLS processing fee. Fees collected through the NMLS ARE NOT REFUNDABLE.

**Use the checklist below to complete the requirements for Wisconsin Department of Financial Institutions.**

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 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:** 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 **Attached** on the checklist below must be received with this checklist within 5 business days of the electronic submission of your application through the NMLS at the following:

For U.S. Postal Service:

*Wisconsin Department of Financial Institutions  
Division of Banking  
PO Box 7876  
Madison, WI 53707-7876*

For Overnight Delivery:

*Wisconsin Department of Financial  
Institutions  
Division of Banking  
4822 Madison Yards Way, North Tower  
Madison, WI 53705*

NMLS Company Unique ID Number: \_\_\_\_\_

Applicant Legal Name: \_\_\_\_\_

FILED IN NMLS	ATTACHED	NOT APPLICABLE	WISCONSIN EXEMPT COMPANY REGISTRATION
<input type="checkbox"/>	N/A	<input type="checkbox"/>	<b>Other Trade Name:</b> DBA's should be listed under Other Trade Names on the NMLS Company Form.
<input type="checkbox"/>	N/A	<input type="checkbox"/>	<b>Disclosure Questions:</b> Provide an explanation for any "Yes" response. Upload a copy of any applicable orders or supporting documents in NMLS.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>Surety Bond.</b> Upload and mail an original "Registered Entity Surety Bond" in the amount of \$300,000 furnished by a surety company authorized to conduct business in Wisconsin. The name of the principal insured on the bond must match exactly the Full Legal Name of applicant. <a href="#">Click here to access the form.</a> <b>Upload Tips:</b> Upload this document under the Document Type "Surety Bond."

Wisconsin 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 Mortgage Banking licensing staff by phone at 608-261-7578 or send your questions via e-mail to [DFIMortgageBanking@wisconsin.gov](mailto:DFIMortgageBanking@wisconsin.gov) for additional assistance.

THE APPLICANT IS FULLY RESPONSIBLE FOR MEETING ALL OF THE REQUIREMENTS OF THE REGISTRATION 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.