

**ATTESTATION**  
to  
**Ohio Application for Registration/License**

**FOR PURPOSES OF THIS ATTESTATION, "APPLICANT" MEANS THE PERSON SEEKING, AND SUBSEQUENTLY OBTAINING, REGISTRATION/LICENSURE FROM THE DIVISION.**

Name of Applicant as listed on MU filing: \_\_\_\_\_

NMLS ID of Applicant: \_\_\_\_\_

If Applicant is not an individual, name of person executing this attestation on behalf of Applicant: \_\_\_\_\_

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*NOTE: the person executing this attestation on behalf of the Applicant must be an individual to whom the Applicant has delegated authority in the company resolution at the end of this form. If the individual executing the MU filing on behalf of the Applicant differs from the person executing this attestation, both individuals must be named in the company resolution.*

Under penalties of perjury, I, the undersigned, to the best of my knowledge, do hereby acknowledge and attest that the MU application submitted on behalf of the Applicant via the Nationwide Multistate Licensing System and Registry (NMLS) and any attachments sent directly to the Division of Financial Institutions (Division) and incorporated by reference herein constitute a complete, truthful, and correct statement of information requested by the Division.

I understand that any false or fraudulent representation or substantial misrepresentation may be grounds for denial of any license or registration application pending with the Division or revocation of any license or registration granted by the Division, and could result in other legal action initiated against me, including but not limited to criminal prosecution.

On behalf of the Applicant, I further acknowledge and confirm:

- The Applicant has made the appropriate filings with the Ohio Secretary of State (OSOS).
- The Applicant has not engaged in unregistered/unlicensed activity at any location prior to the issuance of a registration/license for that location by the Division.
- The Applicant has obtained surety bond coverage in the amount and in compliance with the Revised Code provisions pursuant to which the Applicant is seeking registration/licensure (if applicable).
- The Applicant understands the ongoing duty to provide updated information to the Division regarding any material changes on the application.
- The ongoing duty of the Applicant to provide notice to the Division if the Applicant, any five per cent or more owner, officer, director, or other control person has been convicted or pled guilty or nolo contendere to any felony or misdemeanor criminal offense in any domestic, foreign, or military court.
- The ongoing duty of the Applicant to provide notice to the Division if the Applicant, any five per cent or more owner, officer, director, or other control person is sanctioned by any government agency in conjunction with any financial matter, including personal or business related judgments.
- The understanding that, in obtaining a certificate of registration/license, the Applicant, any five per cent or more owner, officer, director, or control person, are familiar with, understand, and are bound by the applicable provisions of the Revised Code and Ohio Administrative Code.
- The understanding that the Revised Code and administrative rules promulgated thereunder establish statutory conduct standards, affirmative duties and prohibitions in conjunction with the conduct of business under the certificate of registration/license.

- The understanding that the Applicant must reasonably supervise the mortgage loan originators it sponsors (if applicable).
- The understanding that the Applicant will be required to pay, in advance, the costs of an examination of books and records located outside Ohio if such an examination is necessary.
- The understanding that the Applicant must renew its registration/license annually by December 31<sup>st</sup> and that a late renewal may be subject to a late renewal fee, administrative sanctions and/or cancellation of the registration/license by operation of law.
- The understanding that this Attestation pertains to all branch locations at which Ohio related transactions are conducted.
- The records pertaining to the registered/licensed business will be maintained pursuant to the applicable Revised Code provisions and that the Applicant remains subject to this requirement after the cessation of business and the surrender or non-renewal of the registration/license.
- That the Applicant may be required to repeat these attestations, in whole or in part, on subsequent filings submitted to the Division.

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Signature

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Date

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Printed Name

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Position with the Applicant

# COMPANY RESOLUTION

To be adopted by all companies for the purpose of demonstrating that the person signing documents and forms filed with, or submitted to, the Division of Financial Institutions, Consumer Finance Section, has the company's authority to sign on behalf of the company. *NOTE: it is not necessary for sole proprietors to submit a company resolution.*

\_\_\_\_\_  
Name of Company

At a meeting of its members, partners, managers, trustees or board of directors \_\_\_\_\_ held at \_\_\_\_\_  
\_\_\_\_\_ on the \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_  
pursuant to lawful notice of waiver thereof, and at which meeting a quorum for the transaction of business was present, the following was duly adopted:

“Be it resolved, that \_\_\_\_\_  
(Name of Individual and Company Title)

or \_\_\_\_\_  
(Name of Individual and Company Title)

of \_\_\_\_\_  
(Name of Company)

Be authorized and directed by the Company's members, partners, managers, trustees or board of directors, to execute and submit filings and forms for, and all acts amendatory thereof and supplemental thereto, the Company, to the Division of Financial Institutions.”

## CERTIFICATION

The undersigned hereby certifies that he/she is the \_\_\_\_\_ Secretary of \_\_\_\_\_  
\_\_\_\_\_, a company organized and existing under the laws of the State of \_\_\_\_\_; that the foregoing is a true and correct copy of a resolution duly adopted at a meeting of the members, partners, managers, trustees or board of directors of the company held on \_\_\_\_\_ day of \_\_\_\_\_, 20 \_\_, at which meeting a quorum was at all times present and acting; that the passage of said resolution was in all respects legal; and, that said resolution is in full force and effect.

By \_\_\_\_\_  
(Company Secretary – Signature)

\_\_\_\_\_  
Printed Name

Date \_\_\_\_\_