

# Mortgage Banker License Application

Nebraska Department of Banking & Finance

<http://www.ndbf.org/>

Commerce Court  
1230 "O" Street, Suite 400  
PO Box 95006  
Lincoln, NE 68509-5006  
402-471-2171

## To the Director:

Application is hereby made for a license under the Mortgage Bankers Registration and Licensing Act to transact business as a mortgage banker as defined by Neb. Rev. Stat. § 45-702 (6) (Supp. 2003).

If you need extra space to answer any questions, please attach a separate sheet and reference it accordingly.

1. Name of Applicant:

*(Name under which business will be conducted)*

*(Legal name of applicant, if different from above)*

Main Office Address *(Street, and PO Box, if Applicable, City, State, and Zip):*

Main Office Telephone:

Main Office Fax Number:

Web Site Address:

Form of Organization:

*(Sole Proprietorship, Partnership, Corporation, LLC)*

If Sole Proprietor:

*(Social Security Number)*

*(Date of Birth)*

*If Sole Proprietor, attach a copy of Applicant's current (not more than six months old) financial statement and a copy of Applicant's résumé. The résumé should include work experience for the past 10 years.*

If Entity, Place and Date  
of Organization:

*(State)*

*(Date)*

If non-Nebraska entity, date authorized by the Nebraska Secretary of State to do business in Nebraska:

*(Date)*

Parent Company, If Applicable:

2. Address, contact person, and phone number of all other offices (whether or not in Nebraska) at which mortgage banking business will be transacted. If none, please so indicate.

Address:	Address:
Contact:	Contact:
Telephone:	Telephone:

3. Has applicant ever conducted business under any name(s) other than the name(s) given in response to question number 1?

YES      NO      If yes, list all other name(s) which have been used and the dates the name(s) were used.

4. Has applicant ever conducted business at any address, or addresses, other than the address, or addresses, given in response to questions 1 and 2?

YES      NO      If yes, list all such other addresses.

5. Describe the proposed activities of the applicant.

6. Is the applicant, or has the applicant ever been, licensed or registered to transact business as a mortgage banker, mortgage broker, or mortgage servicer in any other state(s)?

YES      NO      If yes, list the state(s) and whether licensed or registered in that state and the date licensed or registered.

State	Licensed/Registered	Date

7. Is the applicant an approved lender or mortgagee of any of the federal agencies or federally related entities listed below?

YES      NO      If yes, indicate which agencies or entities.

- United States Department of Housing and Urban Development
- Federal Housing Administration
- Federal National Mortgage Association
- Government National Mortgage Association
- Federal Home Loan Mortgage Corporation
- United States Department of Veterans Affairs

8. Full name, title, and state of legal residence of each director and principal officer of applicant.

Last Name, First Name, Middle Name	Title	Residence

9. Has applicant's or any director's, shareholder's, principal officer's, partner's or member's authority to transact business as a mortgage banker, mortgage broker, or mortgage servicer in any state ever been revoked or suspended by a state or federal regulatory or law enforcement office?

YES NO If yes, give full details.

10. Has applicant, or any director, shareholder or principal officer or partner or member of applicant, ever been subject to a federal or state administrative investigation or order?

YES NO

Does applicant, or any director, shareholder or principal officer or partner or member of applicant, have any administrative investigations or orders pending?

YES NO

If the answer to either question is yes, give full details.

11. Has applicant ever been associated with a business whose authority has been denied, revoked, or suspended by a state or federal regulatory or law enforcement entity to transact business as a mortgage banker, mortgage broker, or mortgage servicer?

YES NO If yes, give full details.

12. Has applicant, or any director, shareholder, principal officer, partner or member of applicant ever been fined by a state or federal regulatory or law enforcement entity?

YES NO If yes, give full details.

13. Has any director, shareholder, principal officer, partner or member of the applicant ever been associated with a business whose authority has been denied, revoked, or suspended by a state or federal regulatory or law enforcement office to transact business as a mortgage banker, mortgage broker, or mortgage servicer?

YES      NO      If yes, give full details.

14. Has any director, shareholder, principal officer, partner or member of the applicant ever been subject to a formal action by a federal or state bank or securities regulator?

YES      NO      If yes, give full details.

15. Has applicant, or any director, shareholder, partner, member or principal officer of the applicant ever entered into a consent agreement with a state or federal regulatory agency?

YES      NO      If yes, give full details.

16. Has applicant, or any director, shareholder, principal officer, partner or member of the applicant ever been convicted for a violation of any law that has not been pardoned or set aside other than a minor traffic violation?

YES      NO      If yes, give full details.



21. Attach an original surety bond, in the amount of one hundred thousand dollars (\$100,000), furnished by a surety company authorized to do business in Nebraska. The bond shall be for the use of the State of Nebraska and any Nebraska resident who may have a claim or cause of action against the applicant. A Mortgage Bankers Bond Form is provided by the Department for meeting this requirement.
22. Attach one check in the amount of four hundred dollars (\$400) made payable to the "Nebraska Department of Banking and Finance."

*I represent that the information contained herein is true and complete, to the best of my knowledge and belief.*

\_\_\_\_\_  
*Business Name*

\_\_\_\_\_  
*Date*

\_\_\_\_\_  
*Signature*

\_\_\_\_\_  
*Name*

\_\_\_\_\_  
*Title*

*Now before me, a Notary Public in and for the State of \_\_\_\_\_, County of \_\_\_\_\_, came*

*and who, upon presentment of sufficient identification, acknowledged that the foregoing instrument was executed by him or her as a voluntary act and deed, and was subscribed and sworn to before me this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.*

(seal)

\_\_\_\_\_  
*Notary Public*

Questions concerning the preparation of this application should be directed to:

Name:

Title:

Address:

City, State:

Zip:

Telephone:

Email:

Questions concerning consumer complaints should be directed to:

Name:

Title:

Address:

City, State:

Zip:

Telephone:

Email: